



Petty Officer (E-4) Requirements

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Chapter 2

External Relationships

2-4.01-K

KNOW the relationship between the Coast Guard and the following, as presented in the E-PME Study Guide:

- President
- Department of Homeland Security
- Department of Defense.



External Relationships

For more than 210 years, the Coast Guard has served the nation as one of the five armed forces; however, it is the only armed force that operates outside of the Department of Defense.

President

As an armed force, the USCG's Commander in Chief is the President of the United States.

***Department of
Homeland Security***

On March 1, 2003, the Coast Guard moved to the Department of Homeland Security (DHS) from the Department of Transportation. In the DHS, the Coast Guard remains intact and reports directly to the Secretary. As the nation's "*maritime first responder*", the Coast Guard serves as a crucial and responsive element of the Department of Homeland Security.

The Department of Homeland Security (DHS) is comprised of five major divisions or directorates and various critical agencies. The major divisions are:

- Border & Transportation Security
- Emergency Preparedness & Response
- Science & Technology
- Information Analysis & Infrastructure Protection
- Management.

One of the critical agencies in the Department is the Coast Guard. The Commandant of the Coast Guard reports directly to the Secretary of Homeland Security.

The USCG also works closely with the Under Secretary of Border and Transportation Security and maintains its existing independent identity as a military service.

Upon declaration of war or when the President so directs, the Coast Guard operates as an element of the Department of Defense, consistent with existing law.

For more (untestable) information on DHS organizational structure, go to the following link:

<http://www.dhs.gov/dhspublic/display?theme=9>

Maritime “First Responder”

The USCG’s trained crews react to a wide variety of maritime disasters, such as plane crashes, groundings, bridge and waterway accidents, and other maritime casualties.

The Coast Guard’s specially trained National Strike Force teams around the nation provide a flexible and adaptive resource of the Department of Homeland Security. They:

- Deploy swiftly to clean up oil spills and hazardous materials
- Provide assistance during natural disasters such as hurricanes and flooding
- Work hand in hand with EPA, FEMA, state, local, and other key agencies to save lives and protect property.

In addition, commercial, tanker, passenger, and merchant vessels are all subject to increased security measures enforced by the Coast Guard.

Department of Defense

Throughout its history, the Coast Guard has had a unique relationship with the Navy.

By statute, the Coast Guard is an armed force, operating in the joint arena at any time and functioning as a specialized service under the Navy in time of war or when directed by the President.

Chapter 4

Petty Officer Heritage

4-4.01-K

KNOW the heritage that led to the creation of the Petty Officer, as presented in the E-PME Study Guide.

Petty Officer History

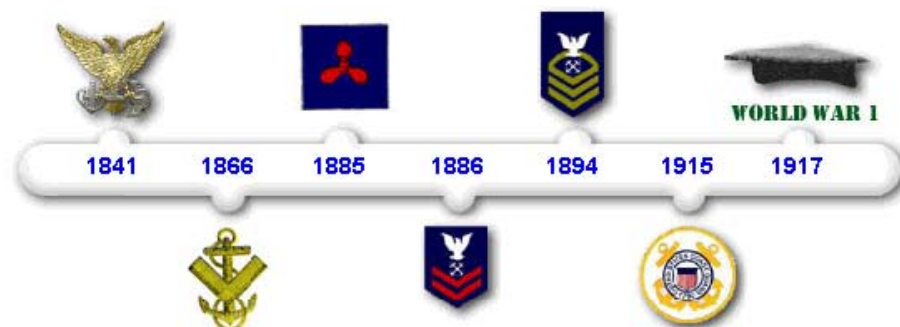
Historically, the petty officer rate can be traced back several centuries. Originally, the French word “petite” meant something small. Over the years, the word also came to mean minor, secondary, and subordinate. In medieval and later England, villages had several “petite”, “pety”, or “petty” officials/officers who were subordinate to major officials. In essence, petty officers served as assistants to senior officials.

Petty officers served in the British navy in the 17th century, perhaps earlier. They were assistants to senior officers of the early British warships. A ship’s captain or master chose the petty officers to serve under him. When the voyage ended, or when the crew was paid and released, the petty officers lost their positions and titles. The rate of petty officer became official in 1808.

In the U.S., when the Revenue Cutter Service was founded, captains of the ships also appointed their petty officers. While petty officers served as important members of the Revenue Cutter Service, they did not have uniforms or rate insignia, and usually held their appointments only while serving on the ship whose captain had selected them.

The modern Coast Guard petty officer’s rate and rating system traces its heraldry to the Navy and the leadership role of the petty officers.

The following timeline provides some historical information relative to petty officers.



**Petty Officer
History
(continued)**

- **1841:** Petty officers in the Navy acquire their first rate insignia when they begin wearing a sleeve device showing an eagle perched on an anchor. Some wear the device on the left arm; others wear it on the right arm.
 - **1866:** In 1866, specialty or rating marks become official, though petty officers used them for several years.
 - **1885:** The Navy recognizes its three classes of petty officers: First, Second, and Third. The rating badges were approved by the Secretary of the Navy on July 1, 1885.
 - **1886:** Petty officers wear rate insignia of chevrons with the points down under a spread eagle and rating mark. The eagle faces left instead of right as it presently does.
 - **1894:** The Navy establishes the Chief Petty Officer rate and issues the insignia of three chevrons with an arc and eagle. 1st, 2nd, and 3rd class petty officers begin wearing the present insignia.
 - **1915:** The Coast Guard comes into existence when Congress combines the Revenue Cutter Service with the U.S. Life Saving Service.
 - **1917:** During World War I, the rates in the Coast Guard become the same as those in the Navy.
-



Match each significant event on the left with the year of inception from the list on the right. Correct answers for the exercise are provided at the end of this E-level section.

Event	Year
_____ The Coast Guard was born.	a. 1808
_____ Specialty or rating marks for petty officers became official.	b. 1841
_____ The Navy recognized three classes of petty officers: First, Second, and Third.	c. 1866
_____ The petty officer rate became official.	d. 1885
_____ Naval petty officers got their first rate insignia.	e. 1915

Chapter 4

MCPO-CG Heritage

4-4.02-K

KNOW the heritage that led to the creation of the MCPO-CG, as presented in the E-PME Study Guide.

MCPO-CG



On August 17, 1969, the office of the Master Chief Petty Officer of the Coast Guard (MCPOCG) was established by a legislative action. The purpose of this motion was to provide the Commandant with a personal advisor and assistant in matters affecting the enlisted members, both active and reserve, and their families.

The MCPOCG is the most senior enlisted member of the Coast Guard, with the pay grade designation of E-10. His or her tour of assignment is four years, which runs concurrently with the Commandant of the Coast Guard.

The MCPOCG must set a living example of the Coast Guard's core values of honor, respect, and devotion to duty. Individuals selected to serve in this prestigious position must possess the highest standards of professionalism and personal integrity.

MCPOCGs who have served in the Coast Guard are presented here.

**1969-1973
BMCM Charles L.
Calhoun**

Master Chief Calhoun was the first Master Chief Petty Officer of the Coast Guard. He began his military career in the U.S. Navy during World War II. After serving three years, he was honorably discharged on February 21, 1946 as a Torpedoman Second Class.

Master Chief Calhoun enlisted in the U.S. Coast Guard on September 20, 1946. His principal duty assignments have been with the:

- Coast Guard Cutter POINT ORIENT in Vietnam
- Staff of the Commander, Division Columbia, SC
- Coast Guard Training Center, Groton, Connecticut
- Coast Guard Cutters MCCULLOCH, CHINCOTEAGUE, WHITE SUMAC, NARCISSUS and the Lightship RELIEF

Master Chief Calhoun had a total of 170 months of Coast Guard sea duty behind him. He served as both executive and commanding officer of the NARCISSUS and WHITE SUMAC.

**1973-1977
YNCM Philip F.
Smith**

Master Chief Smith is the second enlisted man to hold the post of enlisted advisor to the Commandant. He kept his finger on the pulse beat of the enlisted ranks throughout the service, hearing general complaints and suggestions among his other duties and maintaining a liaison with his counterparts in the other four armed services.

Master Chief Smith enlisted in the Coast Guard on September 20, 1949. His duty assignments included:

- Serving on board the buoy tender USCGC RHODODENDRON, Seattle, WA
- Operations Division, 13th Coast Guard District, Seattle, WA
- Sea duty onboard the USCGC BERING STRAIT in the Pacific out of Honolulu
- Serving as Yeoman in the Personnel division of the 13th District office, Seattle
- Tours of duty at the Marine Inspection Office, Guam, M. I., Coast Guard Air Station, Port Angeles, Wash., the Personnel Division at the 17th Coast Guard District office, Juneau, Alaska, Coast Guard Air Station, San Diego, Calif., and the Personnel Division of the 11th Coast Guard District office at Long Beach, CA
- Serving on board the icebreaker USCGC STATEN ISLAND.

Master Chief Smith's service medals and awards include the following: Coast Guard Good Conduct Medal with silver star, National Defense Service Medal with bronze star, United Nations Service Medal, Korean Service Medal.

1977-1981
BMCM Hollis B.
Stephens

Master Chief Stephens enlisted in the U.S. Coast Guard on January 17, 1950. After boot training, he was assigned to the Coast Guard Station at Grand Haven, MI., where he subsequently advanced from Seaman Apprentice to Boatswain's Mate Second Class.

His duty assignments included:

- Serving as coxswain on search and rescue missions out of Port Aransas Lifeboat Station
- Serving onboard the Coast Guard Cutter TRITON
- Assigned as Officer In Charge of the Light Attendant Station, Panama City, and Point Aufer Light Station Louisiana
- Serving onboard the 83' Patrol Cutter at Panama City, where he advanced to Chief Boatswain's Mate.
- Port Aransas serving various jobs including Lifeboat Station, Group Office, and Officer In Charge of both the Tender USCGC MYRTLE and the 82' Patrol Cutter
- Instructor at the Training Center at Cape May
- Tours of duty at LORSTA Kolca, Kauai, Hawaii, Detroit, MI where he served onboard the USCGC BRAMBLE and later as Officer In Charge of the Recruiting Station.
- Port Security and Waterways Detail and as Liaison between Army Transportation Units and Coast Guard Explosive Loading Detachments in the Republic of South Vietnam
- Assigned as Executive Petty Officer and Training Officer of the Presidential Support Detail at Miami Beach.

Master Chief Stephens's service medals and awards include the:

- Bronze Star Medal
- Coast Guard Commendation Medal
- Coast Guard Achievement Medal
- Combat Action
- Coast Guard Good Conduct with Silver Star
- National Defense Service Medal
- Vietnam Service Medal
- Republic of Vietnam Gallantry Cross Unit Citation
- Republic of Vietnam Civil Action Unit Citation
- Republic of Vietnam Campaign Medal
- Expert Rifle Medal
- Expert Pistol Medal.

Master Chief Stephens also has the Cutterman Insignia and the Coxswain Insignia.

1981-1986
RMCM Carl W.
Constantine

Master Chief Constantine enlisted in the U.S. Coast Guard on February 28, 1957 at Long Beach, CA and attended basic training at Alameda, CA and the Radioman School. His duty assignments included::

- Serving on the High Endurance Cutter MINNETONKA and the Seagoing Buoy Tender HEATHER
- Serving at Coast Guard Radio Stations Miami, FL and Honolulu, HI
- Serving aboard the Sea-going Tug TAMAROA, Staten Island, NY, where he was advanced to Chief Petty Officer
- Serving at the Coast Guard Communications Center at Governors Island, NY
- Serving aboard the High Endurance Cutter GALLATIN.
- Assigned to Coast Guard Radio Station Washington, D.C. where he obtained the rank of RMCS
- Tour in Alaska where he served as Radioman-In-Charge of the Communication Center at the Seventeenth District Office, Juneau and as the Command Enlisted Advisor for the 17th Coast Guard District.

Master Chief Constantine was awarded the following:

- CG Commendation Medal (twice)
 - CG Achievement Medal
 - CG Meritorious Unit Commendation (twice)
 - Navy Meritorious Unit Commendation
 - CG Letter of Commendation Ribbon
 - CG Good Conduct Medal (with silver star)
 - Marksmanship Ribbon (Pistol and Rifle)
 - National Defense Service Medal
 - CG Cutterman' Insignia.
-

1986-1990
BMCM Allen W.
Thiele

Master Chief Thiele enlisted in the U.S. Coast Guard November 25, 1958 at Green Bay, Wisconsin and attended basic training at Cape May, NJ. Upon completion of basic training, he was transferred to New Orleans, LA and served at the Captain of the Port and Moorings Pilottown. His other duty assignments included:

- Isolated duty in the Philippines on Catanduanes LORAN
- Serving on a number of units in the Great Lakes including Coast Guard Light Station Algoma, Wisconsin; Coast Guard Cutter RARITAN, Coast Guard Station Plum Island; Coast Guard Cutter MESQUITE, and as Officer-In-Charge of Boating Safety Detachment in Two Rivers, Wisconsin. He was advanced to Chief Petty Officer in October 1968
- Serving at Kauai LORAN Station in Hawaii as the Executive Petty Officer before being assigned to the High Endurance Cutter OWASCO in New London, CT.
- Serving as Officer-In-Charge of the Coast Guard Cutter TERN, Governors Island, NY and Officer-In-Charge of Recruiting Office Milwaukee.
- Serving as Command Enlisted Advisor of the Fourteenth Coast Guard District in Honolulu, HI and as Officer-In-Charge on the Coast Guard Cutter WYACONDA in Dubuque, IA.

Master Chief Thiele's decorations include the:

- Legion of Merit
- Joint Service Commendation Medal
- Coast Guard Commendation Medal with Operational device and one gold star
- Commandant's Letter of Commendation Ribbon
- Coast Guard Unit Commendation with Operational device
- Coast Guard Meritorious Unit Commendation
- Coast Guard Bicentennial Unit Commendation Ribbon
- Eight Coast Guard Good Conduct Awards
- National Defense Service Medal, Coast Guard Sea Service Ribbon with two stars
- Coast Guard Restricted Duty Ribbon.

Master Chief Thiele is authorized to permanently wear the Officer-In-Charge Afloat and Ashore Device as well as the Coast Guard Cutterman's Device.

1990-1994
BMCM R. Jay
Lloyd

A Coast Guard veteran of 33 years, Master Chief Lloyd served as the following:

- Command Enlisted Advisor of the Seventeenth Coast Guard District, Juneau, AK and as Command Enlisted Advisor for the Eighth Coast Guard District, New Orleans, LA
- Officer in Charge of USCGC POINT BENNETT, Port Townsend, WA; USCGC POINT WINSLOW, Eureka, CA; and Coast Guard Station Cortez, Cortez, FL
- Executive Petty Officer at Loran Station Anguar Palau, Western Carolina Islands and Coast Guard Station Willapa Bay, WA.

Master Chief Lloyd's seagoing experience included assignments on board USCGC POINT HOPE, Sabine, TX; USCGC BARATARIA, Alameda, CA; USCGC CONFIDENCE, Kodiak, AK; and USCGC CAPE CARTER, Crescent City, CA. Earlier in his career, MCPO Lloyd served at the Fourteenth Coast Guard District Office, Honolulu, HI; Coast Guard Reserve Unit Denver, CO; and Coast Guard Base Alameda, CA. Master

Chief Lloyd's military awards include:

- Two Legion of Merit Medals
 - Meritorious Service Medal
 - Three Coast Guard Commendation Medals
 - Coast Guard Achievement Medal
 - Commandant's Letter of Commendation with "O" device
 - Two Coast Guard Unit Commendations with "O" device
 - Bicentennial Unit Commendation
 - Seven Coast Guard Good Conduct Awards
 - National Defense Service Medal with Bronze Star
 - Humanitarian Service Medal
 - Coast Guard Sea Service Ribbon
 - Coast Guard Restricted Duty Ribbon
 - Coast Guard Expert Rifleman Medal
 - Coast Guard Expert Pistol Shot Medal.
-

1994-1998
ATCM Eric A.
Trent

A Coast Guard veteran of more than 35 years, Master Chief Trent's assignments included:

- Command Master Chief for the Aviation Training Center in Mobile, Alabama and the Coast Guard Pacific Area in Alameda, California.
- Air Stations in Massachusetts, Bermuda, Alabama, Hawaii, and Florida
- Search and rescue aircrewman designations on HU-16, HC-130, HH3F, and HH-52 aircraft. In flight, he normally fulfilled the duties of radioman, navigator, or hoist operator.

Other experience included Electronics Technician, Collateral Duty Command Master Chief, Collateral Duty Career Information Specialist and Avionics Leading Chief Petty Officer. Master Chief Trent also served on two Total Quality Management Executive Steering Committees.

While attending the Coast Guard Chief Petty Officer Academy, Master Chief Trent was selected by his peers to receive the "Spirit of the Chief Award." Other recognition included the "LT Robert A. Perchard Memorial Trophy," the Mobile Chapter Chief Petty Officer Association "Chief of the Year" award; he was the "Coast Guard Enlisted Ancient Albatross" from December 1, 1995 to June 30, 1998.

Other recognition included the "LT Robert A. Perchard Memorial Trophy," the Mobile Chapter Chief Petty Officer Association "Chief of the Year" award; he was the "Coast Guard Enlisted Ancient Albatross" from December 1, 1995 to June 30, 1998.

Master Chief Trent's military awards include the:

- Coast Guard Distinguished Service Medal
 - Two Coast Guard Meritorious Service Medals
 - Coast Guard Achievement Medal
 - Secretary's Outstanding Unit Award
 - Two Coast Guard Unit Commendations with "O" device
 - Seven Coast Guard Meritorious Unit Commendations with "O" device
 - Bicentennial Unit Commendation
 - Ten Coast Guard Good Conduct Medals
 - Two National Defense Service Medals
 - Three Humanitarian Service Medals
 - Special Operations Service ribbon
 - Coast Guard Rifle and Pistol Marksmanship ribbons.
-

1998-2002
MCPO Vincent W.
Patton

As the principal advisor to the Commandant of the Coast Guard, Admiral James Loy, and his directorates, Master Chief Patton's primary focus was on quality of life issues, career development, work environment and personnel matters affecting over 36,000 active duty and reserve enlisted personnel. A native of Detroit, Michigan, Master Chief Patton enlisted in the U. S. Coast Guard in June 1972. His assignments included:

- Serving as a radioman aboard the USCGC DALLAS, Governors Island, NY, Coast Guard Group and Air Station Detroit, MI, and Recruiting Office Chicago, IL.
- Serving as a yeoman at the Ninth Coast Guard District Office, Cleveland, OH, Coast Guard Headquarters, Washington, DC, and an afloat tour on USCGC BOUTWELL, Seattle, WA.
- Serving as the Command Master Chief for the Coast Guard Atlantic Area, and selected as senior enlisted advisor to Joint Task Force-160, during Operation Support Democracy, the largest alien migration operation in history.

Master Chief Patton's numerous military awards include two Meritorious Service Medals, three Coast Guard Commendation Medals, three Coast Guard Achievement Medals, the Commandant's Letter of Commendation Ribbon, eight Meritorious Team awards, eight Coast Guard Good Conduct awards, and the Sea Service Ribbon with bronze star.

All of Master Chief Patton's college education was earned while on active duty. He received a:

- Doctor of Education degree in 1984 from the American University, Washington, DC (his dissertation based on the development and implementation of the Coast Guard Enlisted Evaluation System)
 - Masters degree in Counseling Psychology from Loyola University, Chicago, IL .
 - Bachelor of Science degree in Social Work from Shaw College, Detroit, MI.
 - Bachelor of Arts degree in Communications from Pacific College, Angwin, CA.
-

***2002-Present
MCPO Frank A.
Welch***

Master Chief Welch is currently serving as the ninth Master Chief Petty Officer of the United States Coast Guard. Advancing quickly, Master Chief Welch has served in the Coast Guard for 24 years, ten of which were as a Master Chief Petty Officer. He has a diverse background in Coast Guard operations. His assignments included:

- Serving as Officer in Charge of USCGC SOCKEYE (WPB 87337), homeported in Bodega Bay, California (commanding her through an initial homeport transit of 6,000 nautical miles from New Orleans, Louisiana, to her homeport of Bodega Bay)
- Serving as Officer in Charge, USCGC POINT CHICO (WPB 82339)
- Serving aboard USCGC SWEETBRIER in Cordova, Alaska (devoting his off-duty time striking the Quartermaster rating)
- Aids to Navigation Team Bristol, Rhode Island, as operations and aids to navigation petty officer
- Serving as assistant navigator and deck watch officer aboard USCGC HARRIET LANE, USCGC VIGOROUS
- Serving as underway navigation and visual communications instructor and training liaison officer for Fleet Training Unit, U.S. Atlantic Fleet
- Executive petty officer aboard USCGC GALVESTON ISLAND, homeported in Apra Harbor, Guam.

Master Chief Welch also served as “Gold Badge” Command Master Chief for the Ninth Coast Guard District, Cleveland, Ohio, where he represented the enlisted men and women of the “Great Lakes,” and as Master Chief of the Coast Guard Chief Petty Officer Academy in Petaluma, California. He was designated as a Master Training Specialist by Commander, Training Command, U.S. Atlantic Fleet where he also received the Coast Guardsman of the Year Award for 1991. In August 2002, he also received the Northern California Senior Enlisted Person of the Year (Operational) award sponsored by the United States Navy League.

Master Chief Welch has earned the permanent Cutterman, Coxswain, Command Master Chief, Chief Petty Officer Academy, and Officer in Charge Afloat pins.

His military awards include numerous medals (with “O” device), including three Meritorious Service Medals, two Coast Guard Commendations, the Navy Commendation Medal, and the Coast Guard Achievement Medal.

Master Chief Welch has also received many ribbons and commendations, including: the Commandant’s Letter of Commendation Ribbon, four Meritorious Team Commendation ribbons, seven Coast Guard Good Conduct Medals, two National Defense Service Medals, and the Humanitarian Service Medal.



Select T for True or F for False for each question. Correct answers for the exercise are provided at the end of this E-level section.

- ☐ True 1. The office of the Master Chief Petty Officer of the Coast Guard (MCPOCG)
☐ False came into existence on July 17, 1971.
- ☐ True 2. The office of the MCPOCG was established by order of the Commandant.
☐ False
- ☐ True 3. The MCPOCG is the most senior enlisted member of the Coast Guard.
☐ False
- ☐ True 4. The MCPOCG has the pay grade designation of E-9.
☐ False
- ☐ True 5. The tour of assignment for the MCPOCG is four years.
☐ False

Chapter 5

Authority

5-4.01-K

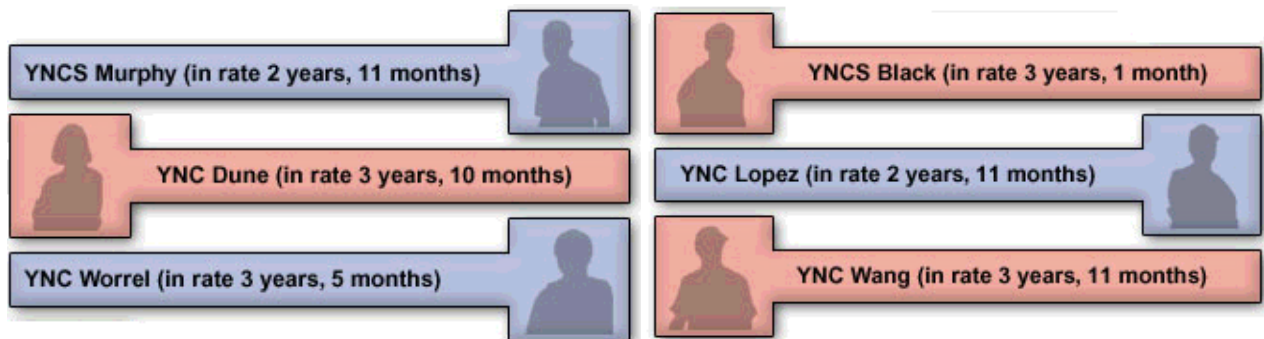
COMPREHEND the following, as presented in the E-PME Study Guide:

- **Authority of a Petty Officer**
- **Parameters of issuing a Lawful Order.**

Petty Officer Authority

Petty officers take precedence over all non-rates. They have delegated authority to carry out the orders of their superiors by virtue of their rate. Commensurate with petty officers' rate is their level of authority, responsibility, and accountability.

Within each rate, the individual with the most time in rate assumes responsibility for leading. Who is the leading member of the following group. The answer is found on the next page.



In exercising their duties, petty officers have authority to issue orders. Deliberate failure to obey a lawful order violates Article 91 of the Uniform Code of Military Justice (UCMJ). Failure to obey a lawful order may also violate Article 92 of the UCMJ.

Petty officers are given apprehension authority under UCMJ, Article 7.

**Petty Officer
Authority
(continued)**

- **Article 91 – Insubordinate Conduct Toward an Officer.** As a court-martial may direct, any warrant officer or enlisted member shall be punished for any of the following actions:
 - ▶ ☐ Strikes or assaults a warrant officer, noncommissioned officer, or petty officer, while that officer is in the execution of his or her office
 - ▶ ☐ Willfully disobeys the lawful order of a warrant officer, noncommissioned officer, or petty officer
 - ▶ ☐ Treats with contempt or is disrespectful in language or deportment toward a warrant officer, noncommissioned officer, or petty officer while that officer is in the execution of his or her office.
- **Article 92 – Failure to Obey Order or Regulation.** As a court-martial may direct, any person subject to this article shall be punished if he or she commits any of the following actions:
 - ▶ ☐ Violates or fails to obey any lawful general order or regulation
 - ▶ ☐ Fails to obey any other lawful order issued by an Armed Forces' member if the person has knowledge of his or her duty to comply
 - ▶ ☐ Is derelict in the performance of his or her duties.

*Answer to
Question on prior
page*

The leading member of the group on the previous page is:

YNCS Black (in rate 3 years 1 month)

Statutory Authority

5-4.02-K

KNOW the statutory authority of Coast Guard petty officers under title 14, USC, Sec. 89.

**Statutory
Authority**

Title 14, USC, section 89 gives the Coast Guard its law enforcement and establishes who may exercise that authority. Under this standard, petty officers, in the performance of official duties, may board any vessel under the jurisdiction of the United States at any time.

Petty Officers have the authority to:

Search the vessel and question personnel on board.

Examine the ship's documents and papers.

Arrest persons violating the law, when warranted.

Seize contraband if necessary.

Inspect to insure RBS Carriage Requirements are met.

Inquire about compliance prior to boarding.

A tactic for recalling actions authorized Coast Guard personnel can perform is to remember the word SEAS II.

It is important to note that probable cause is needed to conduct searches and to make seizures and arrests. The minimum force necessary to compel compliance must be used.

***Title 14 USC,
Section 89***

The Coast Guard may make inquiries, examinations, inspections, searches, seizures, and arrests upon the high seas and waters over which the United States has jurisdiction, for the prevention, detection, and suppression of violations of laws of the United States.

***Title 14 USC,
Section 89
(continued)***

For such purposes, commissioned, warrant, and petty officers may at any time go on board any vessel subject to the jurisdiction, or to the operation of any law, of the United States to/and:

- Address inquiries to those on board
- Examine the ship's documents and papers
- Examine, inspect, and search the vessel
- Use all necessary force to compel compliance.

***Law Enforcement
Authority***

Coast Guard personnel who do NOT have authority under this standard are:

- Non-petty officer enlisted members
 - Auxiliarists
 - Academy Cadets
 - Officer Candidates who are not prior-enlisted Coast Guard petty officers
 - Reservists not on orders.
-

Rating Force MC

5-4.03-K

KNOW the roles and purpose of Rating Force Master Chiefs, as presented in the E-PME Study Guide.

Rating Force Master Chiefs (RFMCs)

Senior petty officers assume more responsibilities and are assigned duties commensurate with ever-greater responsibilities. They may serve as the Career Development Advisor, Command Chief/Senior Chief/Master Chief, or Rating Force Master Chief.

Rating Force Master Chiefs (RFMCs) are responsible for the overall soundness of their rating. They are tasked to:

- Manage the structure of their rating's workforce
- Ensure that personnel are prepared and trained to meet current and future missions
- Assume a crucial role in unit staffing
- Communicate rating issues within the organization.

In addition, RFMCs oversee their rating's professional development and the development of Enlisted Performance Qualifications (EPQs). This oversight includes:

- Structural concerns for the rating's size and grade distribution
- The setting of performance standards, class "A" and "C" school curriculum
- All other rating course development based on EPQs.

RFMCs should be prepared to serve in multiple roles, to include coaching/mentoring, role model, rating Subject Matter Expert (SME), career counselor, budget and human resource manager, and many other organizational level management concerns.

To ensure that the most current and accurate rating information is available to Team Coast Guard, RFMCs need to be involved with:

- Recruiting
- Recruit training
- "A" and "C" schools
- First unit performance.



Circle the correct answer. Correct answers for the exercise are provided at the end of this E-level section.

1. As a rule, the petty officer's _____ dictates the level of authority, responsibility, and accountability.
 - a. Commanding officer
 - b. Senior petty officer
 - c. Rate
 - d. Expertise

2. Title 14 USC, section 89, gives petty officers authority to board a vessel under U.S. jurisdiction at any time and _____.
 - a. Inspect and search the vessel
 - b. Examine ship documents and papers
 - c. Address inquiries to those on board
 - d. All of the above.

3. Rating Force Master Chiefs are tasked to _____.
 - a. Oversee development of Enlisted Performance Qualifications (EPQs)
 - b. Coach
 - c. Interrogate personnel on board
 - d. All of the above.

Chapter 6

Definitions

6-4.01-K

KNOW the definitions of the following, as presented in the E-PME Study Guide:

- Leadership
- Effective Leadership
- Leadership Development
- Leadership Competencies
- Leadership Performance Expectations.

Definitions

Nearly every activity that requires the participation of more than one person requires leadership. A leader leads by example and by taking responsibility for the success of any endeavor. To be effective, the leader must have the belief, trust, and confidence of those who follow. His or her character and judgment must be unimpeachable. ***True leadership is the ability to work through others to accomplish a task.***

Effective leadership is more than just being the person in charge. An effective leader is a:

- Good teammate who aims to accomplish the group's goals
- Respectful follower of those higher in command
- Strong leader who considers the needs and values of subordinates.

Capable leaders adapt to the ever changing environment within the organization.

Most people can supervise, if given the opportunity and the proper authority to back them up. But, there is a big difference between supervising and leading. Leading calls for a certain level of "people skills" that can be difficult to develop.

While these people skills are based on many underlying abilities and competencies, most people can acquire and develop these attributes to become strong leaders...the type of individuals who are trusted and reflect the Coast Guard's core values.

**Definitions
(continued)**

The Coast Guard has a specific set of definitions for certain aspects of leadership. These aspects and their definitions are:

- ***Effective leader***: An effective leader is one who achieves desired results by providing the right tools, information, and working environment, and whose followers are committed.
 - ***Leadership development***: Leadership development is the system an organization uses to grow its workforce into leaders.
 - ***Leadership competencies***: Leadership competencies are measurable patterns of behavior essential to leading.
 - ***Leadership performance expectations***: Leadership performance expectations are the knowledge, skills, attitudes, and abilities the Coast Guard requires of each individual.
-



Circle the correct answer. Correct answers for the exercise are provided at the end of this E-level section.

1. The system the Coast Guard uses to grow its workforce into leaders.
 - a. Leadership Development
 - b. Effective Leadership
 - c. Leadership Competencies
 - d. Leadership Performance Expectations

2. To achieve desired results by providing the right tools, information, and working environment, and fostering commitment among your followers.
 - a. Leadership Development
 - b. Effective Leadership
 - c. Leadership Competencies
 - d. Leadership Performance Expectations

3. The leadership knowledge, skills, attitudes, and abilities that the Coast Guard requires of each individual.
 - a. Leadership Development
 - b. Effective Leadership
 - c. Leadership Competencies
 - d. Leadership Performance Expectations

4. Measurable behavioral patterns essential to leading.
 - a. Leadership Development
 - b. Effective Leadership
 - c. Leadership Competencies
 - d. Leadership Performance Expectations

Situations

7-4.01-P

STATE situations that could result in a conflict of interest, as presented in the E-PME Study Guide.

Potential Conflict of Interest Situations

For this performance requirement, you need to specify situations that could result in a conflict of interest. Various potential ethical violations are presented here.

If you need to, review Standards of Conduct and Ethics Principles provided below and on the following pages. Then review each scenario.



Standards of Conduct and Ethics Principles

The standards of conduct are general principles that apply to all Coast Guard personnel. They are described in detail in Standards of Conduct, 5 C.F.R. Part 2635.

COMDTINST M5370.8B: Standards of Ethical Conduct states that 5 C.F.R. Part 2635 is applicable to enlisted members of the Coast Guard to the same extent that those regulations apply to officers and civilian members of the Coast Guard.

To review the (untestable) information on the Standards of Ethical Conduct Manual (5 C.F.R. Part 2635 - an enclosure in COMDTINST M5370.8B) go to:

http://www.uscg.mil/ccs/cit/cim/directives/CIM/CIM_5370_8B.pdf

Coast Guard personnel should contact an Assistant Ethics Official about their concerns relative to the statutes or regulations for the standards of conduct.

For situations not covered directly by the standards, apply these principles to determine if your conduct is proper.

Loyalty

Public service is a public trust, requiring you to place loyalty to the Constitution, the laws, and ethical principles above private gain.

Financial Interests

You shall not hold financial interests that conflict with the conscientious performance of duty. Subpart H of 5 C.F.R. Part 2635 contains provisions relating to outside employment, outside activities, and personal financial obligations of employees

Information Usage

You shall not engage in financial transactions using nonpublic Government information or allow the improper use of such information to further any private interest. Nonpublic information is information that you gain through your Federal employment and that you know or reasonably should know has not been made available to the general public. Subpart G of 5 C.F.R. Part 2635 sets forth standards pertaining to this topic.

Gifts Acceptance

You shall not hold financial interests that conflict with the conscientious performance of duty. Subpart H of 5 C.F.R. Part 2635 contains provisions relating to outside employment, outside activities, and personal financial obligations of employees.

<i>Honest Effort</i>	You shall put forth honest effort in the performance of your duties.
<i>Commitments</i>	You shall not knowingly make unauthorized commitments or promises of any kind purporting to bind the government.
<i>Public Office</i>	You shall not use public office for private gain. Subpart G of 5 C.F.R. Part 2635 addresses this issue.
<i>Impartiality</i>	You shall act impartially and not give preferential treatment to any private organization or individual.
<i>Federal Property</i>	<p>You shall protect and conserve Federal property and shall not use it for other than authorized activities. Government property includes any form of real or personal property in which the government has an ownership, leasehold, or other property interest.</p> <p>This includes computers and Internet access; office supplies; the government mails; telephones and fax machines; printing and reproduction facilities; government records; and government vehicles, vessels, and aircraft. It also includes any right or other intangible interest that is purchased with government funds, including the services of contract personnel. Subpart G of 5 C.F.R. Part 2635 sets forth standards pertaining to this topic.</p>
<i>Conflict of Duties</i>	<p>You may not work for the government on <i>a particular matter</i> that will affect your <i>financial interest</i>.</p> <ul style="list-style-type: none">• <i>Particular Matter</i>: Something that involves deliberation, decision, or action that is focused on the interests of specific persons, or a discrete and identifiable class of persons. Examples: contract, application, claim, request for a ruling, judicial proceeding. A broad policy discussion or legislation that applies to the public as a whole is not a particular matter.

***Conflict of Duties
(Continued)***

- *Financial Interests:* Under the basic conflicts rule, the financial interests of others with whom you have certain relationships are treated as if they were your own. These others are:
 - ▶ ☐ Your spouse
 - ▶ ☐ Your minor children
 - ▶ ☐ Your general business partners
 - ▶ ☐ An organization in which you are serving, with or without compensation, as an officer, director, trustee, general partner, or employee
 - ▶ ☐ Any individual or organization with whom you are negotiating or have any arrangement for future employment.
-

Whistleblowing

You cannot be fired, fined, mistreated, or receive any retribution for disclosing knowledge of a crime or waste, fraud, and abuse. Section 2302 of Title 5, United States Code sets forth standards pertaining to this topic.

Obligations

You shall satisfy in good faith your obligations as citizens, including all just financial obligations, especially those such as Federal, state, or local taxes that are imposed by law.

Law Adherence

You shall adhere to all laws and regulations that provide equal opportunity for all Americans regardless of race, color, religion, sex, national origin, age, or handicap.

Unlawful Actions

You shall endeavor to avoid any actions creating the appearance that you are violating the law or the ethical standards set forth in 5 C.F.R. Part 2635.

Whether particular circumstances create an appearance that the law or those standards have been violated shall be determined from the perspective of a reasonable person with knowledge of relevant facts.

Scenarios

Read each scenario and answer the questions that follow.

Scenario #1

*Gifts from
Outside Sources*

PO Sharp's Coast Guard duties require her to purchase supplies and equipment for her unit from a local marine supply store. At the end of the year, the marine supply store sales manager sends a gift pen (\$35 value) to all of her valued customers, including PO Sharp.

PO Sharp did not request the gift pen. The sales manager doesn't know PO Sharp, only that she is in the Coast Guard and makes purchases at the store.

Can PO Sharp keep the gift pen? Yes _____ No _____

Scenario #2

*Gifts from
Outside Sources*

PO Grey is scheduled to travel on funded orders to attend a two-day maritime industry conference in Yuma, Arizona as his unit's official representative. Several hundred people are expected to attend the conference, despite the apparent lack of any body of water within 200 miles. Industry personnel and government officials will also be among the attendees. The conference sponsor – the trade association – will set out complimentary soft drinks, bottled water, coffee and tea, fruit, and pastries for the attendees.

The conference fee is \$150 per person, which includes hardcopy conference materials. The agenda includes an evening icebreaker social event with entertainment provided on the first day and three working meals daily. Attendees are expected to attend the social event and participate in the working meals at a cost of \$15 for the event and \$15 per meal.

Can PO Grey accept the complimentary drinks, fruit, and pastries set out for attendees and the sponsor's offer for the other expenses?

Yes _____ No _____

Scenario #1
Answer

PO Sharp **cannot** keep the pen. She has two options open to her:

- Return the pen to the sales manager (can use government funds to return the item by mail)
- Throw the pen away.

Basis: Coast Guard personnel are prohibited from soliciting any gift from any outside source. While PO Sharp did not solicit the pen, she was sent the unsolicited gift pen because of her position and duties...not because she and the sales manager had a close personal friendship or because they were related. In addition, the marine supply store is a prohibited source because it does business with the Coast Guard (PO Sharp's unit). Accordingly, the general gift rule applies – Coast Guard personnel cannot accept any unsolicited gift offered by an outside source because of the recipient's Coast Guard position or it is offered by a prohibited source.

Although there are several exceptions to the general rule, none apply to this scenario (see untestable Sections 2.C.1 through 2.C.6 of COMDTINST M5370.8B (Standards of Ethical Conduct). For any questions concerning gifts, contact an ethics attorney.

Scenario #2
Answer

PO Sharp can accept some items but must refuse the others. He can accept the following items:

- Complimentary drinks, fruit, and pastries set out during the conference
- Waiver of the conference attendance fee
- Waiver of the icebreaker social event and meal charges.

However, PO Sharp cannot personally accept the offer of free transportation and lodging. He must forward that offer through his chain of command to the official having the authority to accept that kind of gift offer on behalf of the Coast Guard.

Basis: By Federal rule, the complimentary drinks, fruit, and pastries, set out during the conference are not considered gifts. The conference qualifies as a widely-attended gathering since a large number of attendees are expected, and because the attendees will probably have diverse views and interests. Since PO Grey was issued funded orders to attend this conference as it was in the Coast Guards interest, he can personally accept an offer of free attendance from the event sponsor. This includes a waiver of any event attendance fee and includes event materials, all meals, refreshments, and entertainment that are integral to the event. However, free attendance does not include free transportation or lodging.

See untestable Sections 2.C.7 through 2.C.12 of COMDTINST M5370.8B (Standards of Ethical Conduct). For any questions concerning gifts, contact an ethics attorney.

Scenario #3
*Fundraising
Activities*

In his private capacity, PO Green is a local scout troop leader. The troop, made up largely of non-Coast Guard dependent children, is having a fundraiser. The purpose is to obtain funds to finance a rafting excursion on Lake Champlain for troop members.

PO Green uses his Coast Guard computer to send out a shotgun e-mail to all command members and to generate a flyer. He posts the flyer on a command bulletin board located in the coffee mess area asking command members to please make a cash donation and/or drop by his office to purchase fundraiser candy bars. In addition, PO Green puts out a jar for cash donations in the coffee mess area. His first donation jar containing an unknown amount of cash is stolen so PO Green puts out a second donation jar.

Has PO Green committed any ethics violations? Yes _____ No _____

Scenario #4
*Fundraising
Activities*

In his off-duty time, PO Black, a shipmate of PO Green, helps out at a local mission (combination shelter and halfway house) that provides free meals and used clothing to qualifying homeless and indigent people. The mission is in critical need of donated food, used clothing, and car batteries.

PO Black is unconcerned about the car battery problem but thinks that members of his command will want to help the shelter. He is aware that PO Green got in big trouble for engaging in improper fundraising activities at the command.

Can PO Black get command members involved without violating ethics rules? Yes _____ No _____

Scenario #3
Answer

PO Green has committed ethics violations. He is engaged in a fundraising activity because he is:

- Soliciting cash donations for a nonprofit organization (the troop)
- Selling candy bars to raise cash for that organization.

PO Green is also engaged in a fundraising activity in the Coast Guard workplace because he has:

- Used his official computer to send a fundraising e-mail
- Set out a total of two donation jars
- Posted a fundraising flyer.
- Sold fundraiser candy bars out of his office.

Basis: Coast Guard personnel are permitted to raise funds in the Coast Guard workplace for two purposes only: the annual Combined Federal Campaign (CFC) and Coast Guard Mutual Assistance (CGMA) drives. While there are two exceptions to this rule, neither applies in this case. Because the funds are not being raised for CFC or CGMA drives, PO Green has violated ethics rules.

Refer to Sections 2.I.4 and 2.H.3 of [COMDTINST M5370.8B](#) (Standards of Ethical Conduct). For any questions concerning fundraising activities, contact an ethics attorney.

Additional untestable information can be found in COMDTINST M5370.8B, Standards of Ethical Conduct.

http://www.uscg.mil/ccs/cit/cim/directives/CIM/CIM_5370_8B.pdf

Scenario #4
Answer

PO Black **can** get members of his command involved. Provided he gets advance permission from his CO, PO Black can post a flyer on the command bulletin board asking for donated canned goods and used clothing. He also can set out one or more collection boxes in common areas within his command. However, PO Black must transport the collected canned goods and used clothing from the command to the mission during his off-duty time. He cannot use a Coast Guard vehicle for this purpose.

Basis: Because the collection activity does not involve cash donations, the workplace fundraising rules discussed in the previous scenario involving PO Green do not apply in this case.

See Sections 2.I.4 and 2.H.3 of [COMDTINST M5370.8B](#) (Standards of Ethical Conduct). For any questions concerning fundraising activities, contact an ethics attorney.

Additional untestable information can be found in COMDTINST M5370.8B, Standards of Ethical Conduct.

http://www.uscg.mil/ccs/cit/cim/directives/CIM/CIM_5370_8B.pdf

Scenario #5
*Misuse of Coast
Guard Position*

PO Focus is a crewman on a 47-foot MLB involved in a rescue. During the operation, PO Focus shoots videotape of parts of the rescue using his personal video camera.

Upon returning to base, PO Focus observes news reporters from various television stations interviewing the survivors, other members of the crew, and the unit public affairs officer. PO Focus mentions to one of the TV news producers that he has a videotape of the rescue. The producer offers him \$100.00 for the videotape.

Can PO Focus accept the money for the videotape? Yes _____ No _____

Scenario #6
*Misuse of Coast
Guard Position*

CPO Friendly's brother-in-law, Ralph, is the proud owner of a pleasure boat. In a rare moment of indiscretion, Ralph went out one morning for a day cruise with his significant other without any personal floatation devices or fire extinguisher aboard. But he did bring onboard a cooler filled with premium dark beer and a 3-liter box of wine.

Unfortunately, Coast Guard members boarded Ralph's boat late in the afternoon to conduct a routine administrative inspection. A chagrined, remorseful, and sunburned Ralph returned home that evening with a citation for operating his boat while intoxicated and for several safety violations.

When Ralph sobered up the next day, he had the presence of mind to call Chief Friendly for help, as a family favor. Chief Friendly's wife (Ralph's sister) pleaded that he help Ralph. In an effort to preserve family peace, Chief Friendly made some calls to kill the citation.

Did CPO Friendly commit an ethics violation? Yes _____ No _____

Scenario #5
Answer

No, PO Focus cannot accept money for the videotape. Ethics rules forbid the use of your position in the Coast Guard for private gain. Selling the videotape amounts to conducting private business, and PO Focus used his position as well as government time and resources (the boat) to make the video. Even though PO Focus used his own camera and shooting the video did not interfere with his duties during the rescue, he was on duty and the documentation he created with the camera is part of the official record of the case. In addition:

- Coast Guard regulations do not permit members to act as a correspondent for any news media without advance approval from the Commandant.
- Security and public affairs directives require the tape to be reviewed prior to release.

Whenever you photograph or videotape any operations, you should advise your supervisor or unit public affairs officer that you have done so.

Basis: Misuse of government time and government property is often intertwined and always constitutes ethics violations. Refer to Sections 2.H.3 of [COMDTINST M5370.8B](#) (Standards of Ethical Conduct). For any questions concerning misuse of position, contact an ethics attorney.

Additional untestable information can be found in COMDTINST M5370.8B, Standards of Ethical Conduct:

http://www.uscg.mil/ccs/cit/cim/directives/CIM/CIM_5370_8B.pdf

Scenario #6
Answer

CPO Friendly has committed an ethics violation. He is prohibited from using his Coast Guard office, status, title, or authority for:

- His private gain (keeping peace in the family in this case)
- The private gain of any friend or relative (his brother-in-law in this case)
- Coercing or inducing anyone to provide any benefit to any persons, including friends and family members.

Basis: Your public office cannot be used for your own private gain or for the private gain of friends, relatives, or persons with whom you are affiliated in a nongovernmental capacity. Refer to Sections 2.H.1 of [COMDTINST M5370.8B](#) (Standards of Ethical Conduct). For any questions concerning misuse of position, contact an ethics attorney.

Additional untestable information can be found in COMDTINST M5370.8B, Standards of Ethical Conduct:

http://www.uscg.mil/ccs/cit/cim/directives/CIM/CIM_5370_8B.pdf

Scenario #7*Outside Activities/
Employment*

PO Blue, assigned to a large Coast Guard base, just got a reenlistment bonus and can't wait to use it as a down-payment on a new Ford Mustang advertised in a local newspaper. However, he knows that he will need to get a part-time, off-duty job in order to make the hefty monthly car payments.

One of PO Blue's close friends is the regional manager for a very large, well known, highly reputable life insurance company. The company receives excellent marks for customer satisfaction. The sales manager assures PO Blue that because of his innate ability and intelligence, personality, and contacts in the training center, he should have no trouble convincing Coast Guard personnel at the training center to buy life insurance from him. PO Blue is offered the job. The deal sounds perfect, but PO Blue wonders whether he can accept the job offer.

Can PO Blue accept the job offer? Yes _____ No _____

Scenario #8*Outside Activities/
Employment*

PO Azure, a highly experienced Marine Science Technician assigned to a Marine Safety Office, has an unemployed dependent husband and three young children at home. Struggling to make ends meet, she is looking for suitable off-duty employment. She knows of a local fishing boat owner who is looking for weekend deck hands to help take passengers out for all-day fishing excursions.

PO Azure recently successfully completed her annual ethics (conflict of interest) training and knows that she cannot participate, in her Coast Guard capacity, in any matter that will impact an off-duty employer. She made a mental note to avoid that problem.

Can PO Azure take the deck hand job? Yes _____ No _____

Scenario #7
Answer

PO Blue **cannot** accept the job offer.

Basis: Federal ethics rules prohibit Coast Guard personnel from engaging in any outside employment that is prohibited by federal law, federal regulations, or Coast Guard regulations. Coast Guard regulations required PO Blue to notify his CO that he is contemplating working off-duty selling life insurance aboard the base. Those same regulations require the CO to apply Coast Guard policy to all such requests. Coast Guard policy prohibits members from selling life insurance aboard any government (including Coast Guard) installation.

For untestable information, refer to Sections 2.I.1 of COMDTINST M5370.8B (Standards of Ethical Conduct). For any questions concerning outside employment, contact an ethics attorney.

Additional untestable information can be found in COMDTINST M5370.8B, Standards of Ethical Conduct:

http://www.uscg.mil/ccs/cit/cim/directives/CIM/CIM_5370_8B.pdf

Scenario #8
Answer

PO Azure **cannot** take the deck hand job. Had she read scenario #7, PO Azure would know that outside employment is prohibited if it is barred by federal statute, federal regulation, or Coast Guard regulation.

Basis: Coast Guard regulation, Chapter 6.E of the Marine Safety Manual, Volume I, prohibits PO Azure, a marine safety person, from many things, including operating or maintaining:

- Any vessel that is operated for hire
- Any other type of commercial vessel, including fishing vessels, whether or not inspected by the USCG.

Refer to Sections 2.I.1 of [COMDTINST M5370.8B](#) (Standards of Ethical Conduct). For any questions concerning outside employment, contact an ethics attorney.

Additional untestable information can be found in COMDTINST M5370.8B, *Standards of Ethical Conduct*. To view this manual, go to www.uscg.mil/ccs/cit/cim/directives/CIM/CIM_5370_8B.pdf

Scenario #9*Conflicts of Interest*

PO Oxblood is an excellent instructor at a Coast Guard training center. He is also responsible for resolving all support issues with the training support contractor, *WeTrainU*. PO Oxblood's enlistment will expire in about 90 days and he has decided to try civilian life.

PO Oxblood has networked his resume to *WeTrainU*. After two interviews with the company, he receives a job offer. Because he knows that his Chief will be upset about his decision not to reenlist, PO Oxblood keeps his *WeTrainU* job offer a secret and continues to go about his duties as though he might reenlist.

Does PO Blue have a conflict of interest problem?

Yes _____ No _____

Scenario #10*Conflicts of Interest*

PO Bucks is a contract specialist at a large base, having the authority to purchase goods and supplies for the Coast Guard. She is alarmed at how much the Coast Guard pays vendors for goods and services.

PO Bucks and her dependent husband come up with a plan to save the Coast Guard significant money. Her husband establishes a company, The Good Guy, with him as the sole owner. The chartered goal is to supply goods and services to the Coast Guard without ripping it off.

Since PO Bucks knows that the Coast Guard cannot contract with her because she is on active duty, she is ever so careful to avoid participating in her husband's company business. She does, however, feed small contracts to *The Good Guy* to help ensure that the Coast Guard gets the best goods and services for the lowest price.

Will her altruistic motives save PO Bucks from an ethics violation prosecution? Yes _____ No _____

Scenario #9
Answer

Yes, PO Oxblood has a conflict of interest problem...a BIG one. Once PO Oxblood negotiates for employment with any prospective employer, that prospective employer's financial interests automatically involve him. So, now that PO Oxblood has a job offer, he can no longer resolve any support issues for USCG with the training contractor, *WeTrainU*.

PO Oxblood needs to contact an ethics attorney immediately to find out how to remedy the conflict of interest. If he fails to do so, he faces adverse administrative and criminal sanctions by the Coast Guard and federal authorities.

Basis: Any prospective employer's financial interests automatically involve the job candidate. Therefore, PO Oxblood is prohibited from participating in any matter that will have a direct and predictable affect on his prospective employer, *WeTrainU*.

Refer to Sections 2.IE of [COMDTINST M5370.8B](#) (Standards of Ethical Conduct). For any questions concerning conflicts of interest, contact an ethics attorney.

Additional untestable information can be found in COMDTINST M5370.8B, Standards of Ethical Conduct. To view this manual, go to:

http://www.uscg.mil/ccs/cit/cim/directives/CIM/CIM_5370_8B.pdf

Scenario #10
Answer

PO Bucks probably won't be saved from an ethics violation prosecution...depending on which side of the bed the prosecutor woke up.

The law automatically assigns (imputes) PO Bucks' husband's financial interests to her too. She is prohibited from knowingly participating personally and substantially in any particular matter that will have a direct and predictable effect on any of her direct or imputed financial interests.

So, whether or not administrative or criminal sanctions are taken against her will depend on the specific facts of the case. In this case, PO Bucks should probably try to contact a defense counsel, not an ethics attorney.

Basis: It appears that PO Bucks did participate personally and substantially in particular matters (the purchases) that had a direct and predictable effect on her husband's company.

Refer to Sections 2.E of [COMDTINST M5370.8B](#) (Standards of Ethical Conduct). For any questions concerning conflicts of interest, contact an ethics attorney.

Additional untestable information can be found in COMDTINST M5370.8B, Standards of Ethical Conduct. To view this manual, go to:

http://www.uscg.mil/ccs/cit/cim/directives/CIM/CIM_5370_8B.pdf

Performing the Requirement

When you are ready to perform this requirement (state situations that could result in a conflict of interest), approach your supervisor and request that he or she observes your performance.



Answer the following questions. Correct answers for the exercise are provided at the end of this E-level section.

1. A local telephone company has sent an unsolicited complimentary 30-minute prepaid calling card (each worth \$20.00) to every member of a Coast Guard command in appreciation for their service to our country. (Some cynics contend that this was a blatant public relation gimmick.) The telephone company's name and logo are printed in bold colors on each calling card.

Can all command members accept the gift calling card? Yes _____ No _____

2. PO Purple is the president of the local Enlisted Petty Officer Association (EPOA). The Association is composed of all Petty Officers assigned to the command. PO Purple, as the Association president, wants to conduct an Association fundraiser at her command. The raised funds would help pay for corrective laser eye surgery for the command's armorer, who is also the small arms marksmanship instructor. PO Purple wants to solicit cash donations from members of the command.

Can PO Purple conduct her fundraiser? Yes _____ No _____

3. As an MWR event, CPO Friendly's command is having a well-deserved family day picnic. The Executive Officer has given the command's Spouse Club permission to set up a booth at the picnic and to conduct a fundraising pastry sale and raffle. Raffle proceeds will be used to purchase subscriptions to the award-winning *Ethics in Government* magazine for unit members about to depart on a long patrol.

Three of the prizes being raffled off include opportunities for dependent children of lucky winners to ride in a small boat, ride in a helo, and to spend a workday with Chief Friendly.

After being chastised for trying to fix his brother-in-law's citation (scenario #6), Chief Friendly has become much more sensitive to ethics issues and wonders whether it is ethical (or wise) to raffle off an opportunity for children to spend a day with him.

Can Chief Friendly go along with this raffle? Yes _____ No _____

4. PO O'Hara is a highly skilled computer technician assigned to Coast Guard Headquarters. He works alongside several highly-paid civilian computer technicians. The civilian technicians are employees of a contractor, *Fix-It*, who has a support contract with the Coast Guard. Although *Fix-It* employees try their best to keep the computers fully functional, the problems that plague the HQ computers could be alleviated if the support contractor had more technicians on the job.

A *Fix-It* representative contacts PO O'Hara and offers him what appears to be an outrageously high sum of money to work as an off-duty employee on the weekends. PO O'Hara's Coast Guard duties do not require him to work weekends, to supervise any *Fix-It* employees, nor to participate in any matters involving the support contractor.

PO O'Hara sees no conflict of interest and decides to accept the job offer. Was this a good decision? Yes _____ No _____

5. CPO Honest has been told by a shipmate that, because of his duties, Chief Honest must file a Confidential Financial Disclosure Report (CFDR). CPO Honest wants to do the right thing, but he is reluctant to disclose his finances to strangers.

Is information readily available to CPO Honest about whether he is obligated to file a CFDR? Yes _____ No _____

Chapter 9

Rights and Responsibilities

9-4.01-K

KNOW your rights and responsibilities as an enlisted member as they pertain to the following, as presented in the E-PME Study Guide:

- Extra Military Instruction (EMI)
- UCMJ Infractions
- Search and Seizure
- Rights of Accused
- Right to Appeal.

Enlisted Rights

In the Coast Guard, we are provided a set of rights to protect us. But as is the case with most rights, we must meet certain responsibilities to show that we've earned these rights.

Specifically, the Coast Guard has assigned rights for the following areas:

- Extra military instruction
- Uniform Code of Military Justice infractions
- Search and seizure
- Rights of accused
- Right to appeal.

These rights ensure that enlisted personnel are treated fairly and are given the benefit of due process when behavior problems arise.

Extra Military Instruction

Extra Military Instruction (EMI) is:

- Additional instruction in a phase of military duty where an individual is deficient
- Intended for, and directed toward, the correction of that deficiency
- A legitimate training technique to improve an individual's duty performance and efficiency.

EMI is NOT punishment. It may be assigned only if it is genuinely intended to improve performance. It cannot be used as a substitute for judicial (court-martial) punishment or non-judicial punishment (NJP).

Extra Military Instruction (continued)

An enlisted member can be directed to:

- Attend EMI for no more than two hours per day
- Attend EMI only for the period of time it takes to correct the performance deficiency for which it was assigned...no longer
- Perform EMI on a day that is not his or her Sabbath.

Uniform Code of Military Justice Infractions

Commanding officers have the authority, under Article 15 – Uniform Code of Military Justice (UCMJ), to impose punishment without having to conduct a court-martial.

Enlisted members must be informed of the following:

- The right to demand a trial by court-martial instead of NJP if they are NOT attached to or embarked on a vessel.
- The right to request a particular mast representative. A mast representative assists the accused in preparing a defense. If it is practical and reasonable, a requested mast representative should be appointed as mast representative. However, the requested mast representative cannot be otherwise involved in the matter that is the subject of the NJP.

Non-judicial Punishment

Article 15 of the Uniformed Code of Military Justices gives commanding officers or officers in charge the authority to award non-judicial punishment at captain's mast. UCMJ infractions not serious enough to warrant a court martial are generally disposed of at captain's mast, which is not a judicial proceeding.

Court Martial

A court-martial is a trial before a military court or judge.

- General Court-Martial. A general court-martial consists of a military judge and at least five members.
 - Special Court-Martial. A special court-martial consists of a military judge and at least three members. Except in capital cases, the accused may request a trial by military judge alone.
 - Summary Court-Martial. A summary court-martial consists of one member, rank 0-4 or above. The member does not need to be a judge.
-

Search and Seizure

Searches and the subsequent seizure of items can be conducted under two different circumstances:

- When probable cause exists
 - When probable cause is not required.
-

*“Probable Cause”
Search and Seizures*

A probable cause search is conducted when a person of “reasonable caution” believes that something connected with a crime is:

- On an enlisted member’s premises
- In his or her direct possession.

A person of “reasonable caution” is defined as an investigator or Military Police officer.

Enlisted members have the right to receive an inventory of any items seized during the probable cause search. Under probable cause circumstances, searchers are not required to obtain a search warrant when the property or evidence may be removed, destroyed, or concealed while searchers wait for the warrant.

“Probable Cause Not Required” Search and Seizures

Some types of searches do NOT require probable cause. A person being searched has limited rights of refusal when:

- The search is conducted in an emergency situation
- A member is placed under arrest, incarcerated, or crossing borders.

In a consent search, members have the right to refuse the search.

Other types of searches that do not require probable cause are:

- Border searches
- Searches upon entry to or exit from United States installations, aircraft, and vessels abroad
- Searches of government property
- Consent searches
- Searches incident to a lawful stop
- Searches incident to a lawful apprehension
- Searches within jails, confinement facilities, or similar facilities
- Emergency searches to save life or for related purposes
- Searches of open fields or woodlands.

Rights of the Accused

The United States Constitution has many protections for enlisted members accused of a crime. These rights differ according to whether the accused will face a non-judicial punishment hearing or summary court-martial.

Non-judicial Punishment

The accused enlisted member may:

- Not incriminate himself or herself
 - Consult an attorney
 - Demand trial of court-martial if at a shore command
 - Have a mast representative at a non-judicial punished hearing
 - Be informed of his right against compulsory self-incrimination
 - Be informed orally or in writing of the information presented against him or her
 - Ensure all relevant information is presented concerning his/her case
 - Request not to appear personally at proceedings held against him or her.
-

***Summary
Court-martial***

The accused enlisted member has the right to:

- Refuse trial by summary court-martial
 - Consult with an attorney
 - Remain silent and plead not guilty
 - Have the summary court-martial call, or subpoena witnesses to testify on behalf of the accused
 - Confront and cross-examine all witnesses testifying against the accused
 - If found guilty, present matters that mitigate the offense or extenuating circumstances as to why the accused committed the offense.
-

Right to Appeal

A Coast Guard member punished under Article 15, UCMJ, may appeal the punishment if he or she considers it “unjust” or “disproportionate” to the acts of misconduct punished.

A Coast Guard member receiving a punitive letter may appeal. This appeal must be submitted:

- Based on a claim that a matter raised in the letter is “inaccurate” or “not relevant” to the offense committed or the punishment imposed
- In writing within 5 calendar days after the punishment is imposed, or the right to appeal is waived
- When received by the person’s supervisor or any more senior individual in his or her unit chain of command.

Submitting an appeal will not suspend any punishment awarded. However, if an appeal has not been acted upon by the Commanding Officer, the member may request the remainder of the punishment be suspended until a decision is made on the appeal.

Chapter 9

CG-4910

9-4.01-P

PREPARE a CG-4910, Report and Disposition of Offense, as presented in the E-PME Study Guide.

Completing the CG-4910

UCMJ offenses are documented on a Report of Offense and Disposition (CG-4910), often called a “booking” or “report” chit. A command may receive an allegation of misconduct from any source, including:

- Another member of the command
- Another command
- Local authorities
- A member of the public.

Any report of misconduct may serve as the basis for initiating a preliminary inquiry. A member of the Armed Forces aware of an offense may submit a CG-4910. The person submitting the CG-4910 could rely upon information received from other sources. He or she does not have to personally witness the alleged act of misconduct.

However, the CG-4910 is not the appropriate reporting method for every infraction.

- A CG-4910 should be used for any offense that is normally disposed of through non-judicial punishment.
- A CG-4910 should NOT be used to report any allegation of misconduct involving a serious offense.

All serious offenses must be reported to CGIS IAW COMDTINST 5520.5. These offenses include rape/sexual assault or any felonies committed or allegedly committed by anyone covered under the UCMJ. If there’s difficulty in determining the seriousness of the offense, the command should:

- Consult its servicing legal office
- Request investigative assistance from the regional Coast Guard Investigative Service office in accordance with Investigative Assistance, COMDTINST 5520.5 (series).

Completing the CG-4910 (continued)

The CG-4910 provides a step-by-step approach to document the actions taken by the command in response to the initial report.

This form is available on the standard workstation in Adobe Acrobat PDF and Jet Form Filler, or blank copies may be reproduced locally. The only blocks you complete when filing a new report are highlighted in yellow in the following sample form.

DEPARTMENT OF HOMELAND SECURITY U.S. COAST GUARD CG-4910 (Rev. 3-03)		REPORT OF OFFENSE AND DISPOSITION			
TO			DATE OF REPORT		
I hereby report the following named person for the offense(s) noted:					
NAME OF ACCUSED			RATE/GRADE		DIV./DEPT.
PLACE OF OFFENSE(S)			DATE OF OFFENSE(S)		
<small>DETAILS OF OFFENSE(S) (Recite article UCMJ, if known. Not necessary to use form specification in Part 4, MCM. Generally describe actions of accused which are believed to constitute offense(s) under the UCMJ.)</small>					
NAME OF WITNESS		RATE/ GRADE	DIV./ DEPT.	NAME OF WITNESS	
RATE/GRADE/TITLE OF PERSON SUBMITTING REPORT		SIGNATURE OF PERSON SUBMITTING REPORT			
INITIAL ACTION OF EXECUTIVE OFFICER					
<small>(When allegations apparently involve minor offenses normally handled by NJP or SCM, the accused should be advised of the allegation(s) and offered the opportunity to select a representative. If a statement is to be requested, advise accused of rights from Form CG-5168A or "Encl. (5)", MJM (COMDTINST M5810.1 Series). Thereafter the matter should be referred, with the next section of information provided, to a preliminary inquiry officer for investigation.)</small> <small>I have been informed of the Offense(s) which I am suspected of having committed, that the command is considering the imposition of nonjudicial punishment and has assigned a preliminary inquiry officer, and</small>					

Data Field	Enter...
To	Name of the officer who requested that you complete the form.
Date of Report	Date that you are completing the report.
Name of Accused	Name of the person who committed the offense.
Rate/Grade	Rate or pay grade of the person committing the offense.
Div./Dept	Assigned division or department of the person committing the offense.
Place of Offense(s)	Place(s) where the offense(s) occurred.
Date of Offense(s)	Date(s) when the offense(s) occurred.

Completing the CG-4910 (continued)

Data Field	Enter...
Details of Offense(s)	All known information. Provide the UCMJ Article that applies to the offense, if known.
	<i>Continued on next page.</i>
Name of Witness(s)	Name of each witness in a separate block. There is room for the names of four witnesses.
Rate/Grade	Rate or pay grade of each witness in the block next to his or her name.
Div./Dept.	Division or department of each witness in the block to the right of his/her rate or pay grade
Rate/Grade/Title	Your rate, pay grade, or title, as the submitter of the report, and print your name.
Required Signature	The signature of the person submitting the report here.

After the CG-4910 is completed, it is forwarded for review. Normally, the report is reviewed by the executive officer. But, depending on the command's organization, it may also be reviewed by:

- The command's chief of military personnel
- The command's administrative officer
- Any officer or petty officer designated by the commanding officer
- Any civilian employee in a supervisory position designated by the commanding officer.

After the CG-4910 is reviewed by the executive officer/executive petty officer, one of two outcomes occur:

- Non-judicial punishment
- Dismissal.

Non-judicial Punishment

If the reviewing officer determines that non-judicial punishment may be appropriate, he or she should advise the accused:

- Of the general nature of the offense that he or she is suspected of committing
- That the command is considering imposition of non-judicial punishment.

The reviewing officer should designate a preliminary inquiry officer to conduct a preliminary inquiry. A preliminary inquiry is an investigation into alleged UCMJ infractions

Dismissal

The reviewing officer may dismiss the matter provided the commanding officer delegated this authority to the executive officer/executive petty officer or proper authority.

**Prepare a
CG-4910**

For this Performance Requirement, prepare a CG-4910, Report and Disposition of Offense, and present it to your supervisor to review.



Match the enlisted members' rights with the appropriate category. Correct answers for the exercise are provided at the end of this E-level section.

Enlisted Members' Rights

- _____ Right to speak to an attorney.
- _____ Right to an inventory of seized items.
- _____ Right NOT to attend supplemental training on Sabbath
- _____ Right to request a particular mast representative.

Category

1. Probable cause search
2. UCMJ infractions
3. EMI
4. Rights of the accused

Chapter 10

EERS Responsibilities

10-4.01-K

KNOW the responsibilities of a Supervisor, Marking Official, Approving Official, and Appeal Authority in relationship to the Enlisted Employee Review System, as presented in the E-PME Study Guide.

Enlisted Employee Review Responsibilities

The rating chain is used to evaluate each enlisted member on the required period ending date. This process assesses actual performance since the last recorded employee review. The Enlisted Performance Evaluation System (EPER) was replaced with an electronic version, Enlisted Employee Review System (EERS). This new system provides the ability to electronically:

- Submit the ratings (scores) on an enlisted member
- Route the review through the approval process for final review at the Personnel Support Center (PSC) (adv).

EERS represents a significant change to the former evaluation process and provides important advantages.

EERS Advantages

Advantages of EERS are:

- The module has an extensive tutorial to assist members as they complete the evaluation.
 - The application provides a built-in error report to identify discrepancies before employee reviews are transmitted to PSC (adv).
 - Supervisors and marking officials can append informal comments to the employee review to facilitate the review/approval process. These comments are automatically eliminated when the employee review is transmitted to PSC (adv).
 - Rather than attaching separate administrative remarks to evaluations, the application allows users to add comments directly to each competency (i.e., performance dimension).
-

***Enlisted Employee
Review Rating
Chain***

The enlisted employee review rating chain is presented below.

ENLISTED EMPLOYEE REVIEW RATING CHAIN

UNIT TYPE	SUPERVISOR	MARKING OFFICIAL	APPROVING OFFICIAL	APPEAL AUTHORITY
Headquarters	As Division Chief designates	Division Chief	Office and Staff Chiefs	Assistant COMDT (G-A, G-W, etc.)*
Area/MLC Offices	Supervisor as Branch Chief designates	Section Chief	Operators Branch or Chief, Staff Components	Area/MLC Commander
District Offices	Section Chief or as Branch Chief designates	Branch Chief	Division Chief or Chief, Staff Components	District Commander
Academy	Section Chief or as Branch Chief designates	Branch Chief	Division Chief	Superintendent (including EAGLE)
Headquarters Unit	As Division Chief designates	Division Chief	Commanding Officer	Commandant
TRACEN	As Approving Official designates	As Approving Official Designates	Devision Chief or Training Division Branch Chief	Commandant (G-WT)*
Area/District Vessels/Units	As Marking Official designates	Department Head Division Chief	Commanding Officer	Area District Commander
Units/Vessels, Groups, Sections*	As Marking Official designates	Department Head Division Chief	Commanding officer, Group/Section/Activity Commander	District/MLC Commander
Group/Units/Vessels	As Commanding Officer or Officer in Charge designates*	Executive Officer/ Executive Petty Officer	Group Commander* Commanding Officer/Officer in Charge	District Commander
ADASGN Personal and Reservists at PSUs and CNCWUs	As Commanding Officer designates	As Commanding Officer designates	Commanding Officer	District/Area/MLC Commander
Master Chief Petty Officer of the Coast Guard	As designated by Aproving Official	As designated by Approving Official	As designated by Approving Official	Commandant (G-CCS)

Responsibilities of Rating Chain

The responsibilities of the Supervisor, Marking Official, Approving Official, and Appeal Authority in relation to Enlisted Employee Reviews are presented here.

Supervisor Responsibilities

The supervisor must be an E-6 or above. He or she is responsible for:

- Observing and gather input on a subordinate's performance and behavior
 - Evaluating the member's performance against the written performance standards in the proper Form CG-3788 and placing an "X" within the appropriate oval
 - Signing the worksheet
 - Submitting the form with recommended marks and written comments to the Marking Official within the time frames specified in the CG Personnel Manual
 - Counseling and informing member of evaluation results when all of rating chain has reviewed the evaluation.
-

Marking Official Responsibilities

The marking official is responsible for:

- Reviewing the marks recommended by the supervisor
- Considering other information on the member's performance and behavior
- Recommending marks by darkening in the appropriate ovals and entering the numerical equivalent in the "Mark" column
- Signing the worksheet
- Submitting the form with recommended marks and written comments to the Approving Official within the time frames specified in the CG Personnel Manual.

In rare circumstances, the executive officer or executive petty officer may serve as Marking Official, where they provide primary task direction.

Approving Official Responsibilities

The Approving Official must be a Coast Guard officer or officer in charge (E-7 or above). Public Health Service officials assigned to Coast Guard commands may sign as Approving Official.

The Approving Official is responsible for:

- Reviewing the marks recommended by the marking official (Marks not concurred with must be discussed with the marking official. Marks are changed by putting a line through the mark and initialing the incorrect mark, and assigning a new mark and changing the Mark column.)
- Completing the approving official's section
- Ensuring that all required written comments are provided
- Ensuring the member is counseled
- Signing the worksheet
- Ensuring marks are entered into DirectAccess within time frames specified in the CG Personnel Manual.

Approving Official authority may not be delegated. If an evaluatee works directly for the Approving Official and no one else supervises the member, the Approving Official completes the entire employee review and any appropriate supporting remarks. The Approving Official's decision on advancement recommendation is final and cannot be appealed.

In most cases, the commanding officer is the Approving Official. However, in some commands, the commanding officer might not be the Approving Official.

Approving Official Responsibilities (continued)

The commanding officer (or Approving Official) is responsible for:

- Ensuring all enlisted persons are aware of their right to appeal
 - Ensuring counseling and clerical assistance are provided to any member desiring to exercise the appeal rights
 - Reviewing the marks the evaluatee believes were based on incorrect information, prejudice, discrimination, or disproportionately low marks for the particular circumstances. As a result of the appeal, raise or leave marks unchanged (marks may NOT be lowered)
 - Sending the appeal if the relief does not satisfy or only partially satisfies the member
 - Complying with the change procedures in the CG Personnel Manual, Article 10.B.10.b.
-

Appeal Authority Responsibilities

The Chief of Staff is the Appeal Authority for enlisted members assigned to the Commandant's and Vice Commandant's staff. When the Commandant personally signs as Marking Official and Approving Official, the Appeal Authority will be the Board for Corrections of Military Records.

The Appeal Authority is responsible for:

- Reviewing and act on the appeal within 15 calendar days after receiving it. Commander, (CGPC-emp-1) may extend the 15 days if the Appeal Authority needs additional information from either the member or commanding officer before responding to the appeal.
 - Raising or leave unchanged the member's marks, in acting on an appeal, but may not lower any marks an Approving Official assigned.
 - Ensuring copies of the appeal package (member's letter, command endorsement along with all enclosures, and Appeal Authority's action) are sent to Commander (CGPC-adm-3) for filing and to Commanding Officer, PSC (adv) for review and possible update to the member's employee review data.
-



Match each responsibility with the appropriate personnel. Note that some personnel are responsible for more than one listed responsibility. Correct answers for the exercise are provided at the end of this E-level section.

Responsibility

- _____ Ensures the member is counseled.
- _____ Darkens in the appropriate ovals.
- _____ Complies with the change procedures in Article 10.B.10.b.
- _____ Evaluates performance and places an “X” within the appropriate oval.
- _____ Ensures all required written comments are provided.
- _____ Enters the numerical equivalent in the “Mark” column.
- _____ Gathers input on a subordinate’s performance and behavior.

**Rating Chain
Personnel**

- a. Supervisor
- b. Marking Official
- c. Approving Official
- d. Appeal Authority

Petty Officer Self Evaluation

10-4.01-P

SUBMIT a self-evaluation to your supervisor, as presented in the E-PME Study Guide using the Petty Officer performance evaluation factors. (Intent: To support and provide input on your performance.)

Petty Officer Performance Evaluation Factors

To ensure a high level of performance from its members and the advancement to positions of greater responsibility for those who demonstrate the greatest potential, the Coast Guard employs a performance evaluation system.

The Coast Guard enlisted evaluation system is the process used to identify the strengths and weaknesses of its enlisted personnel. The system includes performance feedback and formal reporting. The petty officer performance evaluation factors are grouped into five categories:

- Performance
- Leadership
- Military
- Professional Qualities
- Conduct.

Performance

The factors in this category measure a member's ability to acquire knowledge and the ability to use knowledge, skill, and direction to accomplish work.

Competency Factor	The extent to which the member...
Professional/Specialty Knowledge	Demonstrated competency and proficiency for rating or special assignment.
Quality of Work	Completed quality work and required guidance.
Monitoring Work	Identified what needed to be done, set priorities, and kept supervisor informed.
Using Resources	Used personnel and material resources.
Safety	Identified, evaluated, and managed risk to personnel.
Stamina	Thought and acted effectively under conditions that were stressful and mentally or physically fatiguing.
Communicating	Listened, spoke, and expressed thoughts clearly and logically.

Leadership

An effective leader is able to influence and direct people to accomplish a mission satisfactorily. The factors in this category measure a member's ability to direct, guide, develop, influence, and support others in the performance of work.

All E-6 evaluations require written comments to describe an E-6 member's leadership potential.

Competency Factor	The extent to which the member...
Directing Others	Influencing and guiding others in the completion of tasks.
Working with Others	Promoted a team effort in accomplishing goals.
Developing Subordinates	Used coaching, counseling, training, and education to increase the knowledge and performance of subordinates or others. Also measures the degree of the member's sensitivity and responsiveness to the goals and achievements of others.
Responsibility	Enforce standards on self, subordinates, and others; to support policies and decisions; and to hold one's self accountable for own and subordinate's actions.
Evaluations	Conducted, or required others to conduct, evaluations that were objective, accurate, fair, timely, and consistent with actual performance. Evaluations are treated as an ongoing process as opposed to an event.
Work-Life Sensitivity/ Expertise	The acquisition and use of both knowledge and skills to enhance the overall quality of life and general welfare of CG members and their families. Also measures the member's interest in and level of support for CG Work-Life and related programs regardless of billet.
Setting an Example	The member's ability and willingness to seek responsibility and display positive judgment in making decisions.

Military

The factors in this category measure a member's ability to bring credit to the Coast Guard through personal demeanor and professional actions.

Competency Factor	The extent to which the member...
Military Bearing	Appeared neat, smart, and well groomed in uniform; and set standards for subordinates.
Customs and Courtesies	Conformed to military traditions, customs, and courtesies; and set standards for subordinates' performance and behavior.

Professional Qualities

The factors in this category measure a member's ability to acquire knowledge and the ability to use knowledge, skill, and direction to accomplish work.

Competency Factor	<i>The extent to which the member...</i>
Health and Well-being	Exercised moderation in the use of alcohol. The degree to which the member maintained weight standards.
Integrity	Demonstrated the qualities of honesty and fair mindedness in personal relationships and actions, on and off duty.
Loyalty	Was committed to the Coast Guard, unit, supervisor, and shipmates.
Respecting Others	Cooperated with other people or units to achieve common goals.
Human Relations	Fulfilled the letter and spirit of the Coast Guard's Human Relations/Sexual Harassment policy in personal relationships and actions.
Adaptability	Adjusted to and managed change.

Conduct

The factor in this category measures a member's ability to conform to rules, regulations, and military standards.

Competency Factor	<i>The extent to which the member...</i>
Conduct	Through personal behavior, conformed to the rules, regulations, and military standards, on- and off-duty.

Performing a Self-evaluation

The Enlisted Qualification Manual, COMDTINST M1414.8 (series) provides the current professional and military job performance requirements for the specific rating. Section 10-B, Personnel Manual, COMDTINST M1000.6 (series) and other pertinent directives provide policy and procedures for completing enlisted employee reviews.

Using the performance requirements for your pay grade, perform a self-evaluation as presented here and submit it to your supervisor.

Your self-evaluation documentation supports and provides input on your performance.

Guidelines for Assigning Marks

Performance competency is graded on a number system of 1 through 7, with 7 being the highest possible level of performance and 1 being the lowest possible level of performance.

Normally, a single, isolated event...either positive or negative...should not drastically affect the marks assigned.

- When assigning a 1, 2, 7, or unsatisfactory conduct, provide written comments with specific examples of performance to your supervisor.
- For a mark of 2, 4, or 6, these standards must be met and no others in the next higher performance standard.
- A mark of 4 represents the expected performance level of all enlisted personnel.

<i>Guidelines for Assigning Marks</i>		
Mark	Specifies...	Means the member consistently...
1	Unacceptable	Did NOT meet all the written performance standards in the “2” level and the rater considered the impact severely detrimental to the organization or to others.
2	Poor	Met all the written performance standards in this level.
3	Below standard	Did NOT meet all the written performance standards in the “4” level.
4	Average	Met all the written performance standards in this level and none in the “6” level.
5	Above average	Met all the written performance standards in the “4” level and at least one in the “6” level.
6	Excellent	Met all the written performance standards for this level and did NOT exceed any of them.
7	Superior	Met all the written performance standards in the “6” level and exceeded at least one of them.

CG Form, 3788B, Enlisted Employee Worksheet, Petty Officer, is found on the following pages.

<div>DEPARTMENT OF TRANSPORTATION U.S. COAST GUARD CG-3788B (REV. 1/6/03)</div>		<div>ENLISTED EMPLOYEE REVIEW WORKSHEET PETTY OFFICER</div>																																																																																																																																																																																																			
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<div><p>MEMBER: Provide written documentation that is objective, accurate, and timely noting significant accomplishments or aspects of performance that occurred during this marking period.</p><p>RATING CHAIN: Review the Enlisted Qualifications Manual, COMDTINST M1414.8 (series) to determine the current professional and military job performance requirements for the specific rating. Review the performance qualifications to determine to what degree a member should be able to apply such knowledge. Review Section 10-B, Personnel Manual, COMDINST M1000.6 (series) and other pertinent directives establishing policy and procedures for completing enlisted employee reviews. Evaluate the member against the written performance standards only. When a member has consistently met all the written performance standards for a 2, 4, or 6 and no others, assign that mark. All performance dimensions must be evaluated. Provide written comments to describe the member's leadership potential (E-6 evaluations only). Written comments are also required to support each mark of 1, 2, 7 or unsatisfactory conduct. Written comments should provide specific examples of performance and behavior.</p><p>LEADERSHIP POTENTIAL: Provide written documentation for all E-6 personnel describing in detail their potential for future leadership responsibilities.</p></div>						<div><p>SUPERVISOR: After observing and gathering input on member's performance and behavior, evaluate member's performance against the written performance standards and place an "X" within the appropriate oval. Give form with recommended marks and written comments to the Marking Official within the time frames specified in the CG Personnel Manual.</p><p>MARKING OFFICIAL: Review the marks recommended by the Supervisor and, considering other information on the member's performance and behavior, recommend marks by darkening in the appropriate ovals and entering the numerical equivalent in the "Mark" column. Give form with recommended marks and written comments to the Approving Official within the timeframes specified in the CG Personnel Manual.</p><p>APPROVING OFFICIAL: Review the marks recommended by the Marking Official and complete the Approving Official's section. Marks not concurred with must be discussed with the Marking Official. To change a mark, line through and initial the incorrect mark, assign a new mark and change the Mark column. Ensure that required written comments are provided. Also ensure that the member is counseled and signs the worksheet and the marks are entered into the Coast Guard Human Resource Management System, within the time frames specified in the CG Personnel Manual.</p></div>																																																																																																																																																																																															
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PERFORMANCE: Measures a member's ability to acquire knowledge and the ability to use knowledge, skill, and direction to accomplish work.

COMPETENCIES		2		4		6		MARK
1. PROFESSIONAL/SPECIALTY KNOWLEDGE The degree to which this member demonstrated technical competency and proficiency for rating or special assignment.	<input type="checkbox"/>	Marginal knowledge of rating or special assignment. Experienced difficulty in demonstrating proficiency. Failed to maintain qualifications. Did not demonstrate knowledge of policies and procedures.	<input type="checkbox"/>	Demonstrated good knowledge of policies and procedures. Had total understanding of routine concepts of rating or special assignment. Solved everyday problems encountered in completing most assigned tasks.	<input type="checkbox"/>	Consistently demonstrated outstanding knowledge and skills; performed all tasks. Developed and analyzed alternatives needed to solve difficult problems.	<input type="checkbox"/>	
2. QUALITY OF WORK The degree to which this member completed quality work and required guidance.	<input type="checkbox"/>	Work often of poor quality and needed upgrading or redoing to be acceptable. Stood poor watches; often failed to comply with standing rules and orders. Required more guidance for paygrade and experience.	<input type="checkbox"/>	Used training, experience, and proper procedures to produce finished work of good quality. Stood good, responsible watches. Worked well on own; needed minimum guidance for new or complex tasks.	<input type="checkbox"/>	Consistently produced work of highest quality; exceeded expectations and/or standards for tasks. Used knowledge and experience to resolve unusual problems/situations while on watch. Needed no guidance other than initial direction to complete new or complex tasks.	<input type="checkbox"/>	
3. MONITORING WORK The degree to which this member identified what needed to be done, set priorities, and kept supervisor informed.	<input type="checkbox"/>	Sometimes needed help in prioritizing routine tasks. Usually unprepared. Did not follow policies or standard procedures. Occasionally late informing supervisor of changing situations or completion of tasks.	<input type="checkbox"/>	Quickly recognized difference between routine and priority tasks and organized work accordingly. Carefully monitored progress of tasks to completion. Provided factual and accurate reports to supervisor on all aspects of work.	<input type="checkbox"/>	Accurately set priorities for all assigned tasks and consistently completed work ahead of schedule. Consistently kept supervisor informed of progress/problems, results, and new work efforts.	<input type="checkbox"/>	
4. USING RESOURCES The degree to which this member used personnel and material resources.	<input type="checkbox"/>	Occasionally wasted materials or unable to properly and effectively use tools, publications, and equipment. Sometimes wasted time. Did not delegate well. Often failed to follow up.	<input type="checkbox"/>	Made good use of available personnel and their skills. Materials, tools, equipment, and publications effectively used.	<input type="checkbox"/>	Used all personnel and their skills to capacity in a positive working environment. Sought out better ways to accomplish tasks.	<input type="checkbox"/>	
5. SAFETY The degree to which this member identified, evaluated, and managed risks to personnel.	<input type="checkbox"/>	Failed to adequately identify and protect personnel from hazards. Did not follow standard procedures in risk identification and assessment of hazards. Safety not a high priority; sometimes allowed personnel to disregard safety procedures or to work without safety equipment.	<input type="checkbox"/>	Ensured that safe operating procedures were followed for all aspects of work. Ensured that required safety equipment was available and used. Followed-up and ensured that identified hazards were removed.	<input type="checkbox"/>	Consistently stressed safety. Demonstrated a significant commitment towards the identification and removal of hazards to personnel.	<input type="checkbox"/>	
6. STAMINA The degree to which this member thought and acted effectively under conditions that were stressful and mentally or physically fatiguing.	<input type="checkbox"/>	Physically/mentally tired under stress or during periods of extended work. Resisted putting in necessary overtime. Productivity or safety dropped in stressful situations.	<input type="checkbox"/>	Handled stressful situations well. Worked extra hours as required to get the job done. Productivity and safety were adequate.	<input type="checkbox"/>	Willingly worked overtime when necessary to get the job done. No loss of productivity or safety during stressful situations or extended work hours.	<input type="checkbox"/>	
7. COMMUNICATING The degree to which this member listened, spoke, and expressed thoughts clearly and logically.	<input type="checkbox"/>	Used inappropriate language or mannerisms. Failed to listen carefully. Expressed thoughts lacked clarity. Disorganized in verbal presentations.	<input type="checkbox"/>	Used appropriate language; able to get point across. Demonstrated ability to communicate contributed to overall performance. Listened attentively.	<input type="checkbox"/>	Consistently displayed an outstanding ability in verbal expressions. Promoted open communications; put others at ease and drew out their suggestions/comments. Presentations were typically well organized.	<input type="checkbox"/>	

LEADERSHIP: Measures a member's ability to direct, guide, develop, influence, and support others in the performance of work.

COMPETENCIES		2		4		6		MARK
1. DIRECTING OTHERS The effectiveness of this member in influencing and guiding others in the completion of tasks.	<input type="checkbox"/>	Had difficulty in directing and influencing others effectively. Did not instill confidence in subordinates and others. Did not manage difficult situations. Did not establish and maintain standards of quality or quantity for work produced.	<input type="checkbox"/>	Knew and used people's abilities to ensure that high work standards were maintained. Kept self and others motivated towards completion of work. Subordinates knew their role.	<input type="checkbox"/>	Achieved positive and prompt action from others, even in difficult situations. Ensured that each member knew their role in organization. A strong and respected leader.	<input type="checkbox"/>	

<p>2. WORKING WITH OTHERS The degree to which this member promoted a team effort in accomplishing goals.</p>	<input type="checkbox"/>	Exerted little or no influence over group resulting in disorganized efforts. Allowed conflicts to go on between group members. Disregarded the ideas of others. Not a team player.	<input type="checkbox"/>	Demonstrated CAN DO attitude. Ensured workload equitably distributed. Encouraged other team members to contribute ideas.	<input type="checkbox"/>	Outstanding team leader that excelled in getting all to work together. Group consistently effective and productive in achieving team goals.	<input type="checkbox"/>	
<p>3. DEVELOPING SUBORDINATES The extent this member used coaching, counseling, training, and education to increase the knowledge and performance of subordinates or others. The degree of this member's sensitivity and responsiveness to the goals and achievements of others.</p>	<input type="checkbox"/>	Contributed little to training and educational programs to develop subordinates or others. Accepted marginal or unsatisfactory performance or behavior. Failed to provide timely or constructive feedback. Rarely acknowledged or recognized subordinates' or others' accomplishments or achievements.	<input type="checkbox"/>	Participated in formal, informal, and on job training. Successful at coaching; encouraged others to improve. Performance feedback was timely and constructive.	<input type="checkbox"/>	Consistently shared knowledge with subordinates and others through training. Performance feedback was timely and constructive. Initiated appropriate and timely recognition of subordinates and others.	<input type="checkbox"/>	
<p>4. RESPONSIBILITY This member's ability and willingness to enforce standards on self, subordinates, and others; to support policies and decisions; and to hold one's self accountable for own and subordinate's actions.</p>	<input type="checkbox"/>	Provided little or no support for policies and decisions. Unwilling to hold self or subordinates accountable for actions. Lax at enforcing military rules and regulations.	<input type="checkbox"/>	Required self, subordinates, and others to conform to military rules and regulations. Fully supported policies and decisions of seniors. Enforced standards uniformly.	<input type="checkbox"/>	Consistently held self, subordinates, and others accountable for performance and behavior. Actively persuaded others to support policies and decisions even if unpopular. Outstanding leader that aggressively worked to ensure that standards were uniformly enforced.	<input type="checkbox"/>	
<p>5. EVALUATIONS The extent to which this member conducted, or required others to conduct, evaluations that were objective, accurate, fair, timely, and consistent with actual performance. Evaluations treated as an ongoing process vice an event.</p>	<input type="checkbox"/>	Written or oral reports on the performance of self, subordinates, or others were typically submitted late, incomplete, or inconsistent with actual performance. Provided little or no counseling to subordinates.	<input type="checkbox"/>	Provided complete and accurate reports, written or oral, on self, subordinates, or others. Performance and behavior properly evaluated against the written standards. Supporting documentation, when required, contained specific and descriptive observations. Subordinates and others received timely and constructive counseling.	<input type="checkbox"/>	Written or oral reports consistently timely and clearly measured performance against written standards. Written supporting documentation, if necessary, was complete, accurate, specific, and supported numerical evaluations. Did not accept inaccurate reports from others.	<input type="checkbox"/>	
<p>6. WORK-LIFE SENSITIVITY/EXPERTISE The acquisition and use of both knowledge and skills to enhance the overall quality of life and general welfare of CG members and their families. This member's interest in and level of support for CG Work-Life and related programs regardless of billet.</p>	<input type="checkbox"/>	Lacked basic understanding of Work-Life and related programs. Not responsive to the personal needs of CG members and their families. Demonstrated little or no concern for the needs of CG members and their families. Failed to provide adequate support or assistance for people's problems. Avoided opportunities to develop expertise including acquisition of essential knowledge or skills.	<input type="checkbox"/>	Knowledgeable on Work-Life principles, issues, and resources. Conveyed that knowledge to CG members and their families. Provided support with personal or job-related problems and needs; if unable to provide support, ensured that appropriate counseling and assistance were available from other sources.	<input type="checkbox"/>	In-depth knowledge of Work-Life program. Responsive to the needs of CG members and their families; went the extra mile to help those in need. Consistently apprised CG members and their families of Work-Life related programs.	<input type="checkbox"/>	
<p>7. SETTING AN EXAMPLE This member's ability and willingness to seek responsibility and display positive judgment in making decisions.</p>	<input type="checkbox"/>	Projected an apathetic attitude towards assigned work, the Coast Guard, unit policies, or decisions of seniors. Sometimes indecisive or unwilling to make necessary decisions for areas of responsibility. Set poor example by lack of action. Frequently made bad decisions.	<input type="checkbox"/>	Self-starter; influenced others by projecting a positive and enthusiastic attitude. Demonstrated good judgment in making decisions.	<input type="checkbox"/>	Outstanding role model; sought additional responsibility. Made excellent decisions and recommendations. Actively promoted acceptance of all work including unpleasant assignments.	<input type="checkbox"/>	

MILITARY: Measures a member's ability to bring credit to the Coast Guard through personal demeanor and professional actions.

COMPETENCIES		2		4		6		MARK
<p>1. MILITARY BEARING The extent to which this member appeared neat, smart, and well groomed in uniform; and set standards for subordinates.</p>	<input type="checkbox"/>	Unable or unwilling to consistently appear neat, smart, and well groomed. Failed to maintain uniform or grooming standards. Performance of subordinates was marginal or unacceptable.	<input type="checkbox"/>	Demonstrated great care in maintaining and wearing uniform. Hair groomed to standards; if worn, beard or moustache also neat and properly trimmed. Presented a physically trim appearance.	<input type="checkbox"/>	Standards for uniform and grooming excellence served as model for others. Performance of subordinates was exceptional.	<input type="checkbox"/>	
<p>2. CUSTOMS AND COURTESIES The extent to which this member conformed to military traditions, customs, and courtesies; and set standards for subordinates' performance and behavior.</p>	<input type="checkbox"/>	Occasionally failed to conform to military traditions, or customs and courtesies. Performance of subordinates was marginal or unacceptable.	a	Maintained military formality, precedence, courtesies, and respect to rank and privilege; required same of subordinates.	a	Exemplified the finest traditions of military customs, courtesies, and protocol in all situations. Inspired similar standards in others. Performance of subordinates was exceptional.	a	

PROFESSIONAL QUALITIES: Measures a member’s ability to acquire knowledge and the ability to use knowledge, skill, and direction to accomplish work.

COMPETENCIES		2		4		6		MARK
1. HEALTH AND WELL-BEING The degree to which this member exercised moderation in the use of alcohol. The degree to which this member maintained weight standards.	<input type="checkbox"/>	Failed to meet minimum standards of sobriety or weight control.	<input type="checkbox"/>	Maintained weight standards. Used alcohol discriminately or not at all; job performance not affected. Held self and subordinates accountable in meeting minimum standards, on and off duty.	<input type="checkbox"/>	Consistently demonstrated a significant commitment, beyond setting an example, on and off duty, to the well-being of self and subordinates.	<input type="checkbox"/>	
2. INTEGRITY The degree to which this member demonstrated the qualities of honesty and fair mindedness in personal relationships and actions, on and off duty.	<input type="checkbox"/>	Untrustworthy; shaded the truth. Took advantage of situations for personal gain.	<input type="checkbox"/>	Honest and truthful. Demonstrated strong moral character. Was fair-minded and trustworthy.	<input type="checkbox"/>	Consistently adhered to highest standards of honesty, truthfulness, and integrity. Required same of others. Strong moral principles and convictions as demonstrated by personal actions.	<input type="checkbox"/>	
3. LOYALTY The degree to which this member was committed to the Coast Guard, unit, supervisor, and shipmates.	<input type="checkbox"/>	Sometimes complained or otherwise outwardly showed lack of commitment to Coast Guard and its missions, unit, or well-being of others.	<input type="checkbox"/>	Exhibited pride in being part of the Coast Guard. Supported decisions of command. Loyal to seniors, shipmates, and subordinates. Backed subordinates. Was committed in doing the best job possible.	<input type="checkbox"/>	Personal actions consistently demonstrated a strong dedication to duty, Coast Guard, and unit. Extremely loyal and supportive of seniors, shipmates, and subordinates.	<input type="checkbox"/>	
4. RESPECTING OTHERS The degree to which this member cooperated with other people or units to achieve common goals.	<input type="checkbox"/>	Showed disregard for feelings of others through inappropriate comments or actions. Did not promote a team effort.	<input type="checkbox"/>	Treated others in a courteous, thoughtful, and respectful manner. Worked comfortably with others of all ranks and positions.	<input type="checkbox"/>	Worked to achieve a high state of mutual respect with all. Actively encouraged sensitivity to and understanding of the attitudes, perceptions, and ideas of others. Outstanding cooperation with others.	<input type="checkbox"/>	
5. HUMAN RELATIONS The degree to which this member fulfilled the letter and spirit of the Coast Guard’s Human Relations/ Sexual Harassment policy in personal relationships and actions.	<input type="checkbox"/>	Displayed discriminatory tendencies toward others based on their religion, age, sex, race, marital status, or ethnic background. Allowed bias to influence appraisals or the treatment of others. Did not hold self or subordinates accountable for their human relations/sexual harassment responsibilities.	<input type="checkbox"/>	Held self and subordinates accountable for living up to the spirit of the Coast Guard’s Human Relations/ Sexual Harassment statements. Treated others fairly and with dignity without regard to religion, age, sex, race, marital status, or ethnic background. No bias in work or appraisal actions. Personal actions contributed to unit morale.	<input type="checkbox"/>	Demonstrated through leadership a strong personal commitment to fair and equal treatment of others in all situations, without regard to religion, age, sex, race, marital status, or ethnic background. Actively campaigned against prejudicial actions or behavior by others. Made noteworthy contributions to prevent and eliminate prejudicial actions in the work place.	<input type="checkbox"/>	
6. ADAPTABILITY The degree to which this member adjusted and managed change.	<input type="checkbox"/>	Occasionally had difficulty in adjusting to changes in job, policies, procedures, and environment. Effectiveness impaired by changes to routine.	<input type="checkbox"/>	Took change in stride. Adapted quickly to changes. Maintained effectiveness despite disruptions to work routine.	<input type="checkbox"/>	Managed change and adjusted easily to major or last minute changes in job, policies, procedures, and environment. Very flexible. Maintained a high degree of effectiveness.	<input type="checkbox"/>	

CONDUCT

COMPETENCY	
CONDUCT The degree to which this member, through personal behavior, conformed to the rules, regulations, and military standards, on and off duty.	<div> <div>UNSATISFACTORY <input type="checkbox"/></div> Failed to meet minimum standards as evidenced by NJP, CM, or civil conviction; or brought discredit to the Coast Guard as evidenced by adverse CG-3307 entries including financial irresponsibility, non-support of dependents, or alcohol incidents; or failed to conform to civilian and military rules, regulations, and standards. </div> <div> <div>SATISFACTORY <input type="checkbox"/></div> No NJP, CM, or civil conviction; and promoted and supported respect for rules, regulations, and civilian and military standards as evidenced by no adverse CG-3307 entries. </div>
RECOMMENDATION FOR ADVANCEMENT NOT RECOMMENDED: Check this block if, in the view of the rating official, the individual is not capable of satisfactorily performing the duties and responsibilities of the next higher paygrade. RECOMMENDED: Check this block if, in the view of the rating official, the individual is fully capable of satisfactorily performing the duties and responsibilities of the next higher paygrade. This block may be checked irrespective of the individual’s qualification of eligibility for advancement.	
SUPERVISOR: <input type="checkbox"/> Not Recommended <input type="checkbox"/> Recommended	I CERTIFY THAT I HAVE EVALUATED THIS MEMBER AGAINST THE WRITTEN PERFORMANCE STANDARDS AND HAVE PROVIDED WRITTEN DOCUMENTATION FOR SUPPORT OF EACH MARK OF 1, 2, 7, OR UNSATISFACTORY CONDUCT AND TERMINATION OF GOOD CONDUCT ELIGIBILITY. <div> <div>Signature</div> <div>Rate/Rank</div> <div>Date</div> </div>
MARKING OFFICIAL: <input type="checkbox"/> Not Recommended <input type="checkbox"/> Recommended	I CERTIFY THAT I HAVE EVALUATED THIS MEMBER AGAINST THE WRITTEN PERFORMANCE STANDARDS AND HAVE PROVIDED WRITTEN DOCUMENTATION FOR SUPPORT OF EACH MARK OF 1, 2, 7, OR UNSATISFACTORY CONDUCT AND TERMINATION OF GOOD CONDUCT ELIGIBILITY. <div> <div>Signature</div> <div>Rate/Rank</div> <div>Date</div> </div>
APPROVING OFFICIAL: <input type="checkbox"/> Not Recommended <input type="checkbox"/> Recommended	<input type="checkbox"/> Concur <input type="checkbox"/> Do not concur, changes made <input type="checkbox"/> Counseling/Documentation for 1, 2, and 7’s required <input type="checkbox"/> Counseling required (specify areas) <div> <div>Signature</div> <div>Rate/Rank</div> <div>Date</div> </div>

MEMBER: I ACKNOWLEDGE HAVING BEEN COUNSELED ON AND HAVE REVIEWED MY ENLISTED PERFORMANCE FORM FOR THIS PERIOD. I HAVE BEEN BRIEFED ON AND FULLY UNDERSTAND THE SIGNIFICANCE THAT THE ASSIGNED MARKS HAVE ON MY GOOD CONDUCT ELIGIBILITY. I UNDERSTAND THAT I HAVE 15 CALENDAR DAYS IN WHICH TO SUBMIT A MARKS APPEAL. I HAVE BEEN BRIEFED ON AND FULLY UNDERSTAND THE ACTION TAKEN ON MY ADVANCEMENT POTENTIAL.

Signature

Date



Match each statement with its performance category. Correct answers for the exercise are provided at the end of this E-level section.

Statement	Performance Category
_____ Evaluates degree of cooperation with other people or units to achieve common goals	a. Performance
_____ Evaluates extent of well-groomed appearance in uniform.	b. Leadership
_____ Evaluates degree to which personnel and material resources are used	c. Military
_____ Evaluates degree of conformance to military tradition, customs, and courtesies	d. Professional Qualities
_____ Must provide written comments for E-6 personnel evaluation.	e. Conduct

Chapter 11

Personal Financial Management

11-4.01-K

COMPREHEND the importance of good personal financial management in the following areas, as presented in the E-PME Study Guide:

- **Savings Accounts**
- **Checking Accounts**
- **Credit Cards**
- **Investments**
- **Insurance Programs**
- **Credit History**
- **Loans**
- **Personal Budgeting.**

Personal Financial Management

Coast Guard commanders are frequently contacted concerning the financial indebtedness of their subordinates or the failure of subordinates to honor financial obligations. It is important to the success of the Coast Guard's mission that good personal financial management is exercised amongst all members.

Savings Accounts

Good financial management includes having a monetary reserve to meet emergencies as they arise. The reserve helps avoid going into debt to meet these crises. To establish the reserve, you can arrange to have money automatically deposited into a savings account on a monthly basis.

Each year, try to anticipate the most likely emergencies and base your reserve on this amount. At a minimum, your reserve should be the amount of one month's take-home pay. This reserve is best kept in an interest-bearing savings account.

***Savings Accounts
(continued)***

It is also sensible to put aside money for long-term goals, such as vacations, home-buying down payments, education tuition, expensive nonessential equipment, etc. Try to spend no more than 90% of your monthly after-tax income. Managing your daily expenses on your adjusted take-home takes the sting out of saving and your bank account will continually grow.

***Savings Account
Money Savings Tips***

Some things to consider when opening your savings account are:

- Shop around for bank services that provide the best deals. Include financial institutions other than banks (i.e., credit unions, savings and loan organizations, brokerage cash-management accounts, etc.) in your search.
 - A savings money market account has a higher interest rate than a regular savings account. There are no, or low, fees. However, there is a minimum balance for this type account, usually less or equal to \$2,500.
 - Certificates of deposit (CDs) offer some of the best guaranteed rates of interest. However, since you need to lock up your money for a specified period of time (three months or more), do not put your entire savings in this type account—just money ear-marked for long-term goals.
-

Checking Accounts

To prevent writing checks when there are insufficient funds:

- Keep track of all deposits and withdrawals during the current month.
- Record in and balance your checkbook after each transaction.
- Reconcile your checkbook balance with your bank statement each month. Be sure to record any bank fees you may be charged.

It's a good idea to open your checking account with a bank that offers overdraft protection. Otherwise, if you make a mistake in your checkbook, you could be charged with check bouncing fees from the bank and from the check recipient. This could quickly add up to a considerable amount, especially if subsequent checks are bounced.

*Checking Account
Money Savings Tips*

When selecting your bank, look for the following in your checking account:

- Interest bearing account, compounded daily
- No minimum balance
- FDIC insured for \$100,000
- Overdraft protection
- No per-check fees
- No fees for deposits.

Having your paycheck direct deposited to your bank can help you avoid unexpected bank fees and the lower minimum account balance required by some interest bearing accounts.

Credit Cards

Credit cards provide a convenience and are particularly valuable in an emergency. They also allow you to take advantage of unexpected money-saving opportunities when low on cash. However, credit cards are a large responsibility and, used improperly, can cause formidable financial problems.

A good way to avoid over-borrowing with your credit card is to limit your credit purchases to just half of your monthly base pay, then pay off the balance each month. You're into BIG credit card trouble when you are paying more than a quarter of your total take-home pay to meet minimum monthly debt payments.

Credit card companies are actually loaning you money at a high interest rate. Never use your credit card to pay for things you really can't afford or don't even need. Always make your minimum payment ON TIME to avoid paying excessive late fees and to keep your credit history in good standing.

*Credit Card Money
Savings Tips*

When choosing a credit card, look for the following:

- No annual fee
- A 25-day grace period
- Annual Percentage Rate (APR) less than 13% on outstanding balance
- Average Daily Balance (ADB) method for calculating outstanding balance.

Avoid using cash advances or convenience checks offered by credit card companies as they carry much higher interest rates than your credit card.

Investments

To meet your long-term goals, you might consider investing some of your savings for higher returns. The old adage "It takes money to make money." holds a certain amount of truth.

There are many types of investments...from real estate to stocks and much in-between. It's important to remember that NO investment is without risk; however, taking risk can reap higher returns on your money. A diversified portfolio is less risky than one concentrated in one or a few investments. A good rule of thumb is to never take any risk with money you can't afford to lose.

U.S. Treasury bonds provide the lowest investment risk. However, their return is dependent on interest rates and can fluctuate. The most popular investment in today's society is mutual funds, where professional full-time investors manage investments for millions of people. Before investing any money, do your own research and avoid paying the fees charged by professional investors.

Check out the Mutual Fund Education Alliance at www.mfea.com for a free list of good, no-load mutual fund companies.

Investment Tips

Consider these tips when investing in mutual funds.

- Choose a no-load fund to avoid paying the “load” fee. A “load” fee is paying the fund salesman upfront for advice on which fund to invest your money. This “load” fee could amount up to a whopping 8% of your savings.
 - AVOID Contractual Mutual Funds. These funds obligate you to invest a set amount over a specific time frame. Usually, you are charged the entire investment professional fees UP FRONT and could lose half of your first-year’s savings.
 - Buy your mutual funds directly from established, no-load mutual fund companies.
 - Once you select your investment vehicle, have an allotment made out to the source to help your investment grow.
-

Insurance Programs

Good financial management includes carrying insurance against unexpected calamities. The most common types of insurance are:

- Automobile
 - Homeowner’s
 - Life
 - Medical.
-

Automobile Insurance

If you own a car, even if you consider yourself a good driver, automobile insurance is a must. It’s a whole lot cheaper than the costs involved should you hurt someone or do damage to property, including your car.

Premiums are based on the amount of coverage and deductible, plus your age, normal driving region, and driving record.

Shop around for the best rates. It is advisable to select a well-established, countrywide insurance company that provides good service and has a 24/7 toll-free number.

Homeowner's Insurance

Homeowner's insurance is liability protection against such things as fire, personal property loss due to fire or theft, and personal liability should someone other than residents get hurt in your home. Since most insurance companies place a low ceiling on belongings such as electronic equipment, jewelry, art, etc., special riders are available for these type items.

Most insurance companies cover the depreciated value of property, not the replacement value. Even if you are renting a house or apartment, buying renter's insurance is recommended for protecting your household goods investment.

Life Insurance

The Service Group Life Insurance (SGLI) covers Coast Guard members. SGLI is stable term life insurance and would provide your survivors funds. You probably won't need any more insurance than the SGLI while you're on active duty.

Wise money management would put the money for other life insurance policy premiums into growing your investments...in a sense, you'd be self-insuring yourself. However, you need to keep up your SGLI. Keep in mind, however, that the SGLI is term insurance for just you. You may want to take out policies on your spouse and children.

Medical Insurance

If you are without dependents, there is no need to carry medical insurance at this time as the Coast Guard pays for all of your health care. However, if you have dependents, you may have to pay for their needs through the TriCare medical insurance system.

TriCare is a regionally managed health care program for active duty and retired members of the uniformed services, their families, and survivors.

TriCare brings together the health care resources of the military and supplements them with networks of civilian health care professionals. This arrangement is to provide better access and high-quality service while maintaining the capability to support military operations.

Credit History

Your financial conduct is tracked and scored by creditors, who report their findings to credit bureaus. Your credit history is what you see when you get a copy of your credit report. A good credit history is essential for sound financial management. Your credit record determines your ability to obtain credit ... whether for mortgages, auto loans, credit cards, etc.

Being labeled "high risk" affects the rate of interest and fees charged on your loans, your auto insurance rates, and your credit line. A poor credit score can also influence your success in leasing apartments or getting hired.

A bad credit record follows you for years and reflects your inability to successfully meet your financial obligations.

Credit Rating Score

It is prudent to check your credit report rating on an annual basis. This enables you to clear any "black marks" against you, whether it be reporting errors or correcting lax payment habits.

Contact any of the three major credit bureaus to obtain a copy of your credit report. There may be a charge for the reports. It is advisable to check these companies beforehand to find out their fees, if any.

- Equifax Credit Information Services, Inc.
P. O. Box 740241; Atlanta, GA 39374
To order report: 1-800-685-1111
To report fraud: 1-800-525-6285
Web site: <http://www.equifax.com>
 - National Consumer Assistance Center.
P. O. Box 2002; Allen, TX 75013
To order report: 1-888-397-3742
To report fraud: 1-888-397-3742
Web site: <http://www.experian.com>
 - TransUnion LLC
Consumer Disclosure Center
P. O. Box 1000; Chester, PA 19022
To order report: 1-800-888-4213
To report fraud: 1-800-916-8800
Web site: <http://www.transunion.com>
-

Need Help?

If you have a low score because you haven't established a credit history:

- Apply for a department store or gasoline credit card. (These are relatively easy to obtain.)
- Pay your bills ON TIME, never being late with even one payment.

If you have a low score because you have a damaged credit record, build it up by taking out a secured credit card (depositing money with the issuing bank) until you clear up your other accounts. Then, aggressively attack any credit problems.

- Begin to make your full assigned payments ON TIME.
- Contact your lenders, explain your situation, and work out repayment plans that you can realistically meet. If an account's due date falls at a time of the month when money is tight, arrange to have the payment due date changed.
- Avoid all unnecessary spending, at least until your bills are down to a manageable size.
- Contact Work Life for assistance and enlistment in the Financial Management Program. This program provides practical information and financial planning tools to eligible members experiencing financial difficulties.
- Contact a personal-credit counseling organization, such as Consumer Credit Counseling Services at 1-800-873-2227, for assistance, sometimes without a charge or a small fee.
- Avoid credit-counseling companies that make cold calls, use pressure sales pitches, "drive-thru" counseling, or charge large upfront fees. Fees should not exceed \$50 to establish a debt management plan or exceed \$35 monthly if you need them to maintain your plan.

Loans

As financial responsibility increases, most people find themselves without the necessary cash on hand for major purchases. While loans are available to meet these needs, you need to be extremely careful in securing your loans. You want to avoid the "debt trap."

Loans can be classified as:

- Revolving (i.e., credit cards, retail store accounts)
 - Installment (i.e., automobile loans, education loans)
 - Investment (i.e., home mortgages)
 - Home equity (i.e., second mortgages)
 - Personal (i.e., cash).
-

Revolving Loans

These loans enable consumers to spend more than they have at that moment. Many revolving loans charge no interest if they are paid in full by a specified date (usually 24 to 30 days). If the full amount is not paid in the allotted time, interest is charged.

Since interest rates can vary, shop around for the best interest rate.

Installment Loans

Installment loans are for a specified period of time and are charged a flat rate of interest. As with most loans, it's best to shop around for the best terms.

Many automobiles are purchased on installment loans. When purchasing an auto, buy a reliable one and keep it in good repair. Once the auto loan is paid off, open a special interest bearing account, putting the month car payment into this account. If you continue to do this, you probably will be able to pay cash.

Do your homework before you go car shopping. Check with various lending institutions (your credit union, banks, savings and loan corporations, finance companies) to find the best interest rates. You do not have to use the credit offered by the car dealer.

Investment Loans

Investment loans are for a long period of time, usually with a fixed interest rate. Shop around for the lowest rate and the best terms. Home mortgages are considered investment loans.

Home Equity Loans

Tapping into your home equity can be to your advantage. These loans offer relatively low fixed interest rates, tax-deductible interest, and low or no closing costs.

Typically, these loan terms run from five to 15 years. Borrowers often choose this type loan to:

- Consolidate higher rate credit card, auto loan, and personal loan balances
- Convert nondeductible debt into tax-deductible debt.

However, you need to carefully consider equity loans. You're putting your home up for collateral; failure to curb your spending debt puts you deeper in debt and increases your risk of losing your home.

Personal Loans

Personal loans usually put cash into your hands when you need it. This type of loan normally carries the highest interest rate. Credit unions usually offer the best interest rates. And if you borrow against your savings in the credit union, your interest rate will even be better.

Be wary of “loan sharks” when contracting for this type loan. The best advice is to try to avoid getting personal loans.

Personal Budgeting

Organization and a spending plan (budget) are important tools for financial success. A budget is a blueprint of how your money will work for you. It allows you to organize and control your financial resources, and set and realize goals. Your budget will be your most fundamental and most effective financial management tool. It can be very simple or quite elaborate, depending on what you want.

Developing a budget is the most important step in your financial management journey. It allows you to take control of your money instead of letting your money control you. A sound budget enables you to:

- Know exactly how much money you have and how you spend it
 - Organize your financial concerns into expenditures and savings
 - Make more intelligent spending decisions
 - Generate buy-in from family members for financial priorities
 - Save for both known and unknown expenses
 - Have extra money to spend since you eliminate paying hidden fees, late charges, and interest
 - Take advantage of opportunities since you know your exact financial status at all times
 - Systematize your spending and investments with your financial goals.
-

Getting Started

To get started on your spending plan:

- Identify how you're spending your money by keeping a record for about a month of where the money goes.
- Evaluate your current spending and sets financial goals, both short and long term.
- Track your spending periodically to ensure it stays on track. If this proves difficult, you need to keep better records.

Several resources are available to you:

- Personal finance computer programs, such as Quicken or Microsoft Money, provide built-in budget-making tools that can create your budget for you.
 - Work Life has a Financial Management Program. This program provides practical information and financial planning tools for eligible members.
 - The library or your bookstore has financial planners.
-



Match each definition with its financial tool. Correct answers for the exercise are provided at the end of this E-level section.

Definition		Financial Tool
_____	A savings tool to meet long-term goals.	a. Credit card
_____	A safeguard to help protect against unexpected calamities.	b. Savings accounts
_____	A loan for a brief limited period of time that could bear no interest fees.	c. Loans
_____	A useful tool for controlling your money	d. Investments
_____	Determines your ability to obtain credit.	e. Insurance
_____	A cash reserve to meet emergencies.	f. Personal budget
_____	Enables consumer to purchase high-cost items.	g. Credit history

Chapter 13

PCS Entitlements

13-4.01-K

KNOW your Permanent Change of Station (PCS) entitlements, as presented in the E-PME Study Guide.

Permanent Change of Station Entitlements

Coast Guard members receiving military orders for a Permanent Change of Station (PCS) incur certain expenses in making the move. To help defray these costs, specific transportation and/or allowance entitlements to transport the members, their dependents, vehicles, and household goods are provided.

The effective date of orders (EDO) is used as the base for calculating PCS entitlements and allowances. The number of dependents, amount of household goods, and number of privately-owned vehicles (POV) prior to the EDO are used for the calculation.

If a member gets married, has a baby, buys a car, or acquires household goods after the EDO, the member is not entitled to reimbursement for any of these expenses. For example, PO Greene gets married after the EDO. He drives to his new Permanent Duty Station (PDS) and claims his spouse for reimbursement. PO Greene will NOT be reimbursed for expenses incurred by his spouse since she became his dependent after his EDO.

Effective Date of Orders

The effective date of orders is determined by subtracting the number of travel days plus one additional day from the report-by-date on your orders.

For example, PO Greene receives orders to report to Training Center Petaluma, CA on or about March 15, 2004. He is departing CGC Ida Lewis in Newport, RI and receives nine travel days. By subtracting ten days, the effective date of PO Greene's orders is March 5, 2004.

Dislocation Allowance

Dislocation Allowance (DLA) is an allowance paid at a rate determined by the Secretary of Defense and increased by the annual pay raise. It is payable to:

- All members with dependents when dependents relocate their household goods in conjunction with a PCS.
- Members without dependents if they are NOT assigned permanent government quarters at the new PCS.

A DLA is provided to partially reimburse a member, with or without dependents, for the expenses incurred in:

- Relocating the member's household on PCS
- Housing moves ordered for the Government's convenience
- Relocation incident to an evacuation.

This allowance is in addition to all other allowances authorized and may be paid in advance. DLA is not taxable. If a member is married to another member but they do not live together prior to the PCS transfer, the member does not receive DLA. However, if the members are living together, one receives the "without dependents" rate.

Primary Dislocation Allowance Rates		
Pay Grade	Without Dependents	With Dependents
E-9	\$1,643.30	\$2,166.42
E-8	\$1,508.31	\$1,999.97
E-7	\$1,288.62	\$1,854.12
E-6	\$1,166.44	\$1,713.24
E-5	\$1,075.82	\$1,540.82
E-4	\$935.92	\$1,540.82
E-3	\$918.18	\$1,540.82
E-2	\$745.78	\$1,540.82
E-1	\$665.01	\$1,540.82

Transportation Allowance

Transportation allowance entitlements includes the following:

- Household goods transportation/storage
- Travel expense
- Temporary lodging
- Advance pay and allowances.

*Household Goods
Transportation/
Storage*

A member directed to make a PCS move is entitled to transportation and/or storage of Household Goods (HHG). The member's grade and dependency status determine the prescribed weight allowance.

The Coast Guard may administratively limit the amount shipped. For example, if an E-6 with dependents is transferred between two Continental United States (CONUS) PDSs, he or she may ship 11,000 pounds of HHG.

However, only a portion of that member's PCS HHG weight allowance may be shipped if the member is transferred to a "weight restricted" Outside of Continental United States (OCONUS) PDS. The remainder may be placed in Non-Temporary Storage (NTS) or transported to a designated place. HHG precluded from shipment due to an administrative weight restriction are placed in NTS until the next PCS.

Ordinarily, any portion of the PCS HHG weight allowance the member elects not to ship may be placed in NTS. HHG transportation entitles a member to temporary storage, until the member arranges for a new permanent residence, unless prohibited. Temporary storage may be authorized at any combination of the point of origin, in transit, or at destination.

Personally-procured transportation moves are another option that members can use to transport HHGs. A member must request to conduct a personally-procured transportation move through his or her transportation office.

Prescribed Weight Allowance		
Pay Grade	With Dependents (pounds)	Without Dependents (pounds)
E-9	14,500	12,000
E-8	13,500	11,000
E-7	12,500	10,500
E-6	11,000	8,000
E-5	9,000	7,000
E-4	8,000	7,000
E-3 – E-1	8,000	5,000

Travel Expense

When traveling to a new Permanent Duty Station (PDS), a member may:

- Use a privately-owned conveyance (POC)
- Personally procure common carrier transportation
- Have government procure transportation
- Be provided government conveyance.

For travel to, from, or between overseas points, you must use government or government-procured transportation. While you won't receive a transportation allowance because you didn't pay these costs, you are eligible to receive per diem and reimbursement for certain miscellaneous expenses incurred.

Your travel orders may specifically authorize you to arrange your own transportation. In specific instances, the Traffic Management Office (TMO) may issue you a statement of nonavailability of government or government-procured transportation.

Privately-owned
Conveyance (POC)

A member traveling by POC is authorized MALT PLUS (Monetary Allowance in lieu of Transportation plus Per Diem). The MALT is paid on a "per mile" basis for the official distance of each portion of the ordered travel. The PLUS (per diem) portion is paid on a whole calendar day basis for the allowable travel time. Members are authorized these allowances even if they take leave en route to their PDS.

POC Travel Mileage*	
Authorized Travelers	Rate per Mile
One	\$0.15
Two	\$0.17
Three	\$0.19
Four or More	\$0.20

Standard CONUS Per Diem		
Lodging	M&IE	Total
\$60.00	\$31.00	\$91.00
Effective 1 October 2004		
*Note: Dependent Spouses and children 12 and older traveling with member receive 75% of the above rates. Children under 12 receive 50% of the above rate. Spouses receive \$91.00 per day if she/he departs on a different date than the member.		

One travel day is authorized for each 350 miles of distance. One day is added for any remaining mileage greater than 51 miles. For the total distance of 400 miles or less, only one travel day is authorized.

Dependent Travel	<p>If your dependents travel by POC, you'll receive a MALT and flat rate per diem for the official distance your dependents travel.</p> <p>If your dependents purchase commercial common carrier transportation, you may be reimbursed for the actual cost of the transportation, not to exceed the cost the government would have incurred for ordered travel. You also receive a per diem allowance for your dependents.</p> <p>When the Coast Guard restricts travel of dependents to an overseas location, your dependents may move at government expense to any place within CONUS that you designate. With special approval, your dependents may move outside the CONUS.</p>
Personally Procured Transportation	<p>Members and dependents may be reimbursed for travel between PDSs using commercial common carriers, such as planes, trains, or buses. You're entitled to the actual cost of the fares, not to exceed the cost the government would have incurred.</p> <p>For travel to, from, or between overseas areas, you must arrange travel through the TMO or a corporate travel office under contract with the U.S. government. Failure to do so may result in nonreimbursement of travel costs.</p>
Government Procured Transportation	<p>Upon request, your local TMO will make your transportation arrangements with commercial common carriers, such as plane, rail, or bus.</p>
Government Conveyance	<p>Since you do not pay the transportation costs when traveling by a government conveyance, you will NOT receive a transportation allowance.</p>
Temporary Lodging	<p>Temporary Lodging Expense (TLE) is provided to partially offset lodging and meal expenses when a member and/or dependents need to occupy temporary lodging in CONUS in connection with a PCS. Receipts are required for reimbursement.</p> <ul style="list-style-type: none"> • Maximum allowable money: \$180 payable per day • Maximum allowable length of time: <ul style="list-style-type: none"> ▶ 10 days for transfer INCONUS ▶ 5 days for INCONUS/OUTCONUS transfer.

*Temporary Lodging
(continued)*

TLE may be taken before departure from the area of the old PDS and/or designated place within CONUS and/or after arrival in the area of the new PDS and/or designated place within CONUS. The temporary lodgings must be in the vicinity of the old and/or new PDS and/or in the vicinity of the designated place.

Temporary
Lodging
Allowance

Temporary Lodging Allowance (TLA) is provided to partially reimburse a member for more than normal expenses incurred while occupying temporary lodgings. TLA includes expenses for meals obtained as a direct result of using temporary lodgings OCONUS that don't have facilities for preparing and consuming meals.

A member ordinarily should not receive TLA for more than the last 10 days before the day the member departs the OCONUS PDS in compliance with PCS orders. TLA is authorized in these circumstances:

- Waiting for quarters
- Must vacate quarters
- Following a 90+ day TDY
- PCS from an OCONUS PDS
- Member's hospitalization.

Waiting for
Quarters

TLA is authorized upon initial arrival (reporting) at an OCONUS PDS (includes reporting for TDY at a location within the limits of the new OCONUS PDS) while:

- Waiting for assignment of Government quarters
- Completing arrangements for other permanent living accommodations when Government quarters aren't available.

Must Vacate
Quarters

TLA is authorized when, for reasons beyond the member's control, the OCONUS commander determines that it's necessary for the member established in permanent quarters in the PDS vicinity to:

- Vacate those quarters, permanently or temporarily, and use temporary lodgings in the PDS vicinity while looking for other permanent quarters
- Wait to reoccupy the permanent quarters.

Following a 90+
Day TDY

TLA is authorized while seeking permanent housing following a TDY period when a member without dependents vacated permanent housing before a TDY assignment of 90 days or more.

PCS from an
OCONUS PDS

TLA is authorized immediately preceding departure on a PCS from an OCONUS PDS after:

- Government quarters are vacated in connection with PCS orders
- Surrender of other permanent living accommodations.

This includes reporting for TDY at a location within the limits of the old OCONUS PDS.

Member's
Hospitalization

TLA is authorized during a member's hospitalization period while en route between PDSs, when dependents are required to use temporary lodgings during the hospitalization period.

TLA Time Frame

TLA is authorized for a period not more than 60 days. However, an additional period, authorized/approved in 10 or fewer day increments, may be authorized if:

1. HHGs do not arrive.
 2. There is a delay in availability of/assignment to Government quarters due to Service exigencies.
 3. Acts of God, fire, flood, earthquake, riot, civil unrest, or other disturbances make ordinarily available housing temporarily/permanently uninhabitable or unavailable.
 4. A landlord withdraws housing from the market.
 5. The member is unable to secure housing considered by the housing officer to be suitable to the member's needs, in an acceptable location and comparable to and within the price range of housing currently being used by other members in the area.
 6. The member/dependent(s) are hospitalized or the member's assigned duties require the member to be away from the PDS (homeport, if attached to a vessel), resulting in less opportunities to arrange for permanent living accommodations.
-

Proceed Time

The commanding officer should minimize the unnecessary time a member is in a transient status. Proceed time should be authorized only to the extent that the amount granted eases any hardship in having to make personal arrangements either before detaching or after reporting to the PDS.

The maximum amount of proceed time to be authorized is:

- Four days for orders indicating no haste in reporting.
- Two days for orders directing the traveler to “proceed without delay.”

Advance Pay and Allowances

The Commanding Officer(CO)/Officer In Charge(OIC) needs to ensure that the member is aware of the options available to ease the possible financial burden of a PCS move. An advance of pay is one such option. This advance is to pay the member while he or she is in a travel status and will be away from the disbursing office.

Advance pay and allowances are authorized only for the time of delay en route. For example, if the delay is for 16 days (leave, travel, proceed, etc), do not request 20 days’ advance pay and allowances, as it will be reduced to one-half month. Command oversight is an important responsibility in the advance pay program.

It is the command’s responsibility to ensure that the member is aware of the intent of an advance of pay, particularly for expenses outside of the program’s scope. An advance of pay is not intended to provide funds for such items as investments, vacations, or the purchase of consumer goods that are not the result of direct expenses resulting from the member’s PCS orders.

The purpose of an advance of pay associated with a PCS move is to provide a member with funds to meet the extraordinary expenses of Government ordered/authorized relocation. It is intended to assist with reimbursements and expenses incurred in a duty location change that are not typical of day-to-day military living.

The request for advance pay is processed by the PERSRU upon receipt of the Advances Worksheet, CG PSC-2010. The CO, or the designee, is authorized to approve requests for advance pay.

A copy of CG PSC-2010, Advances Worksheets, is provided on the following page.

Department of Homeland Security U. S. Coast Guard CG PSC-2010 (Rev. 3-05)		<h2 style="text-align: center;">Advances Worksheet</h2>	
EMPLID	Name (Last, First, MI)	Permanent Unit	
PURPOSE: Use this form to request advances in pay, BAH/OHA, DLA, and TLE.			
PCS Departure Date (if applicable)	Number of months requested Or Specific amount \$	Liquidation period requested. (# of months) See notes.	
I request:			
<div style="display: flex; justify-content: space-between;"> <div> <input type="checkbox"/> Advance pay <input type="checkbox"/> Advance BAH <input type="checkbox"/> Advance OHA </div> <div> <input type="checkbox"/> Advance DLA <input type="checkbox"/> Advance TLE </div> </div>			
Advance Pay	<p>Advance Pay is payable the following circumstances:</p> <p>a. When deployed for more than one year to an area in receipt of Hostile Fire or Imminent Danger Pay (See CG Pay Manual COMDTINST M7220.29A) Article 9-D-3(a) for additional details.</p> <p>b. Within 30 days of departure on PCS orders, and within 60 days after arrival at a new unit. In extenuating circumstances, the member's CO may authorize Advance Pay to be paid up to 90 days before departing PCS, and up to 180 days after reporting PCS.</p> <p>In both cases you may request an amount not to exceed 3 months basic pay less: taxes; SGLI; debts; forfeitures; Montgomery GI Bill deductions; Dependent Dental Plan deductions; garnishment, mandatory support allotment, and bankruptcy deductions; and TSP (basic pay) deductions. Repayment of advance pay is by payroll deduction. Advance pay can be liquidated over a minimum period of one month, up to a maximum of 12 months. A member can request liquidation over a period greater than 12 months, not to exceed 24 months, when the PCS move causes unusually large expenses and repayment within 12 months would create a severe personal financial hardship. Only your CO can approve requests for liquidation greater than 12 months. Attach your request and CO's endorsement to this worksheet.</p>		
Advance BAH/OHA	<p>Advance BAH and OHA may be made at any time during a member's tour of duty. The amount of Advance BAH/OHA depends on the member's documented housing expenses. The maximum amount of Advance BAH is 3 months BAH, and the maximum amount of Advance OHA is one year's OHA. OHA may be liquidated over a maximum of 12 months. Liquidation begins the first day of the month following the advance, but may be postponed for up to three months upon justification and approval of the commanding officer. Action to recoup in a lump sum any advance made under this paragraph that has been returned to the member by the landlord will be taken immediately upon receipt of information that the member has vacated the housing for which the advance was made. Any balance of an advance not returned by the landlord may be liquidated in monthly installments, if desired by the member, for a period over the balance of the months remaining on the existing loan repayment schedule.</p>		
Advance DLA	<p>DLA is payable to members in receipt of PCS orders. DLA is based on your grade and dependency status on the effective date of your PCS. To determine the effective date of your PCS order, see JFTR, Appendix A, definition of EFFECTIVE DATE OF PCS ORDER. The current rate information can be found on this website http://www.dtic.mil/perdiem/dla.html and selecting the applicable rate table.. DLA is payable to all members with dependents provided their dependents relocate. Members without dependents must be release from mandatory government quarters assignment before receiving DLA.</p>		
Advance TLE	<p>Advance Temporary Lodging Allowance (TLE) is authorized when the member and/or dependent(s) occupy temporary lodging in conjunction with a PCS transfer. TLE is reimbursable allowance based on locality per diem rate, the number of travelers occupying temporary lodging, with deductions for normal housing an subsistence allowances. TLE is only authorized for use in the local area near the old or new PDS. The maximum TLE payment cannot exceed \$180/day for 10 days for CONUS to CONUS and OCONUS to CONUS transfers, 5 days for CONUS to OCONUS transfers. TLE advances are for up to 80% of total entitlement. See JFTR U5720 for complete formula and examples. NOTE: A maximum of \$110 per day applies for all members with PCS orders issued before 1 January 2002,</p>		
PRIVACY ACT STATEMENT			
<p>In accordance with 5 USC Section 522a(e)(3), the following information is provided to you when supplying personal information to the U. S. Coast Guard: Authority - 10 USC Section 2771. Principal Purpose(s) - Used to indicate desired or additional advance(s). Routine uses - same. Disclosure - Disclosure of this information is voluntary, but without disclosure the member may not receive requested advance(s).</p>			
Member's Signature		Date:	For SPO Use Only
Command Approval		Date:	Action Completed Date: _____ Initials: _____

*Advance Pay and
Allowances
(continued)*

NOTE: Travel card use is now mandatory for PCS travel unless the travel/delay in reporting duration exceeds 21 days. This includes any leave, compensatory or permissive time taken in conjunction with the PCS move.

For PCS exceeding 21 days and for advance DLA payments, direct deposit travel advances will be available.

If, for some reason, you are not a government charge card holder and would be receiving cash, complete and attach Form SF-1038 (Advance of Funds Application and Account) with the Advances worksheet.



An advance against YOUR Government travel credit card is NOT considered an advance of funds. A copy of Form SF-1038 is shown on the following page.

Members may request up to three months advance pay (base pay only minus taxes) to be liquidated over a 12-month period or up to 24 months with the Commanding Officer's approval. They may request the advance at the new PDS up to 60 days after their report date.

Advance pay is authorized for members under the following conditions.

- **Member transferred out of MHA and issued entitlements:** Advance pay is authorized when the PCS order transfers the member out of his or her unit's Military Housing Area (MHA) and the member is issued government funded travel and household goods movement entitlements.
- **Authorized household goods move within MHA.** Advance pay is only authorized when the PCS orders the member to a unit within his or her current MHA and a household goods move is authorized at government expense in accordance with the JFTR. An example is a directed move out of government or leased family quarters. Temporary duty en route does not preclude payment (37 USC 1006(a)).
- **Humanitarian, unilateral, or mutual station exchange.** Advance pay may be authorized for a Humanitarian, Unilateral, or Mutual Exchange of Station (HUMS) transfer only when the PCS transfers the member out of his or her unit's MHA.

Commands are to use discretion in approving an advance pay request when transfers under these type orders are to an adjacent MHA (examples: Washington, DC to Baltimore, MD, or San Francisco, CA to Alameda, CA).

ADVANCE OF FUNDS APPLICATION AND ACCOUNT	1. TYPE OF ADVANCE <input type="checkbox"/> CASH <input type="checkbox"/> CHECK	2. TYPE OF TRAVEL <input type="checkbox"/> TEMPORARY <input type="checkbox"/> PERMANENT	3. NAME (Last, first, middle initial)		4. ACCOUNT NO.			
			5. TELEPHONE NUMBER(S)	6. SOCIAL SECURITY ACCOUNT NO.				
<p>In compliance with Privacy Act of 1974 the following information is provided; Solicitation of the information on this form is authorized by 5 U.S.C. Chapter 57 as implemented by the Federal Travel Regulations (FPMR 101-7), E.O. 11809 of July 22, 1971, E.O. 11012 of March 27, 1962, and E.O. 9397 of November 22, 1943. The primary purpose of the information is to facilitate the review, approval, accounting and advancement of funds for travel and certain relocation allowance expenses to be incurred under appropriate administrative authorization. The requested information will be used by officers and employees of this agency who have a need for such information in the performance of their official duties. The information will be disclosed to appropriate Federal, State, local or foreign agencies, when relevant to civil, criminal or regulatory investigations or prosecutions, or when pursuant to a requirement by this agency in connection with the hiring or firing of an employee, security clearances, or other investigations of the performance of official duty while in Government service. Your Social Security Number (SSN) is solicited for use as an employee identification number. Disclosure of the requested information is voluntary; however, failure to provide the information required may result in delay or suspension of your advance of funds request.</p>			7. DEPARTMENT OR ESTABLISHMENT		8. BUREAU, DIVISION OR OFFICE			
			9. APPLICATION - (For completion by applicant)					
			An advance of funds is hereby requested for travel and other expenses to be incurred by me.				e. BALANCE DUE U.S. FROM PREVIOUS ADVANCE	\$
			a. UNDER AUTHORIZATION NUMBER		b. DATE OF AUTHORIZATION / /		f. AMOUNT HEREIN APPLIED FOR	\$
			c. TRAVEL PERIOD From / / To / /		g. TOTAL		\$	
			d. MAIL CHECK TO <input type="checkbox"/> OFFICE <input type="checkbox"/> RESIDENCE (Give address - number, street, city, State, ZIP code)				Note: Outstanding advances not fully recovered by deductions from reimbursement vouchers must be promptly repaid. When travel is canceled or indefinitely postponed, the full amount of any outstanding advance shall be repaid immediately.	
APPLICANT SIGN HERE 					DATE			
10. APPROVAL 		SIGNATURE AND TITLE OF APPROVING OFFICIAL		DATE APPROVED / /		11. APPROPRIATION TO BE CHARGED		
12. REMARKS				13. CASH PAYMENT RECEIVED		DATE / /		

STANDARD FORM 1038 (Rev. 10-77)
Prescribed by GSA, FPMR (41 CFR) 101-7

*Advance Pay and
Allowances
(continued)*

- **Vessel homeport change.** Advance pay is authorized when serving on a vessel that has a change of homeport.
 - **Ordered to 140+ days active duty.** Advance pay is authorized when a reservist is ordered to active duty of 140 days and greater.
-



Answer the following True or False questions. Correct answers for the exercise are provided at the end of this E-level section.

- ☐ True A Dislocation Allowance (DLA) cannot be paid in advance.
☐ False
- ☐ True A member's grade and dependency status determine the prescribed weight allowance.
☐ False
- ☐ True The Coast Guard may limit the amount of household goods shipped.
☐ False
- ☐ True When purchasing your own ticket, you are entitled for full reimbursement, no matter how much it costs.
☐ False
- ☐ True If you have a baby after the EDO, you can claim the baby as a dependent for reimbursement purposes
☐ False
- ☐ True Per Diem is paid on a whole calendar day basis.
☐ False



Circle the appropriate answer to the following questions.

1. For POC travel mileage reimbursement, three authorized travelers are entitled to _____.
 - a. \$0.15 per mile
 - b. \$0.16 per mile
 - c. \$0.18 per mile
 - d. \$0.19 per mile
2. The maximum allowance for authorized temporary lodging expense is _____.
 - a. \$150.00 per day
 - b. \$175.00 per day
 - c. \$180.00 per day
 - d. \$185.00 per day
3. Temporary Lodging Allowance (TLA) is authorized for a period NOT more than _____.
 - a. 30 days
 - b. 45 days
 - c. 60 days
 - d. 75 days
4. Members may request advance pay for up to _____.
 - a. 2 months
 - b. 3 months
 - c. 4 months
 - d. 5 months

Enlisted Assignment Process

13-4.02-K

KNOW the enlisted assignment process, as presented in the E-PME Study Guide.

Enlisted Assignment Process

Coast Guard Personnel Command administration strives to supply authorized numbers of qualified, versatile personnel who:

- Efficiently perform the Coast Guard's varied duties
– and –
- Through broad experience, are prepared to assume duties of greater responsibility and authority.

To develop the experience and background required to meet this objective, members rotate in assignments within and between Service activities. In managing the Coast Guard's members, personnel command administration follows these basic principal assumptions:

- **Service needs.** In distributing and assigning members, Service needs come first.
- **Fully qualified to hold rate.** If an enlisted person holds a specific rate, he or she is fully qualified to perform its duties.
- **Billet structure.** The billet structure the Commandant authorizes for a specific unit is adequate to execute its mission satisfactorily.

Coast Guard Personnel Command transfers hundreds of people each year within a period called an Assignment Year (AY). The assignment year is promulgated on October 1st and coincides with the fiscal year. However, many months of preparation take place prior to the promulgation of an AY.

Special Assignments

Special assignments have a sizable impact in the preparation of an AY. Each year, persons are assigned to special assignment positions (also referred to as “out of rate” positions).

Personnel desiring to fill special assignments must submit applications to the special Assignments Officer (AO) requesting an out of rate assignment.

Special Assignments Include:

-  **Command Cadre (OinC/XPO)**
 -  **Recruiting**
 -  **Company Commander**
 -  **Coast Guard Investigators (CGIS)**
 -  **Career Development Advisor (CDA)**
 -  **Substance Abuse Advisor (SAD)**
 -  **Chief Petty Officer Academy (CPOA) instructors**
 -  **Command Master Chief (CMC)**
 -  **Honor guard for POs**
 -  **Tactical Law Enforcement Teams (TACLET)**
 -  **Maritime Law Enforcement (MLE) instructors**
-

***Special
Assignments
Process***

The special assignments officer begins work on the upcoming AY around November. Many special assignment positions (such as Command Cadre, CMC, Recruiting, Company Commander) have panels to determine the best candidate for the position.

These panels convene well in advance of the AY for the following two reasons;

- If a panel selects an applicant for a special assignment, the special assignments officer must request the member's rating AO to release him or her for service in an "out of rate" billet.
- Members who apply but do not get accepted for special assignment positions must be notified and instructed to compete for assignments during the regular AY.

Once the special assignments process has been completed, all other AOs must determine who is leaving the rating and who is returning to the rating from special assignments.

Next, they must take into account all members who will:

- Be advanced
- Be released from active duty
- Retire
- Fleet up.

After all the events related to personnel assignments have been considered and addressed, the shopping lists for each rating is promulgated and released.

Priority Categories	
Category	Unit Types
One	Unaccompanied overseas or extremely arduous
Two	OCONUS afloat
Three	INCONUS afloat
Four	OCONUS shore duty
Five	INCONUS shore duty

***Special
Assignments
Process
(continued)***

All personnel in the current AY must submit e-Resumés via Direct Access.

- Personnel in priorities one through three receive their orders first. Most often people in these categories receive orders by January or February.
- Personnel in categories four and five should receive orders by March or April.

NOTE: Personnel who “fleet up” are advanced and will fill a position at their current duty station. For example, if DC1 Cordez is promoted to DCC on or about the same time DCC Stanowski at Cordez’s current duty station retires or transfers, DCC Cordez can fleet up to take his place.



Circle the appropriate answer to the following questions. Correct answers for the exercise are provided at the end of this E-level section.

1. When assigning members, personnel administration follows basic assumption(s):
 - a. Service needs.
 - b. Billet structure
 - c. Members are fully qualified to perform their rate duties
 - d. All of the above
2. The assignment year begins on _____.
 - a. January 1st
 - b. June 1st
 - c. August 1st
 - d. October 1st
3. Personnel seeking to fill special assignments must _____.
 - a. Make their request in writing to their immediate supervisor
 - b. Submit an application to PSC
 - c. Submit an application to their special assignment officer
 - d. All of the above
4. Panels determine the best candidate for the position of _____.
 - a. Command Cadre
 - b. Recruiting
 - c. Company Commander
 - d. All of the above

Electronic Resumé

13-4.01-P

PREPARE an electronic Resumé (e-Resumé), as presented in the E-PME Study Guide

Completing an Electronic Resumé

All personnel in an Assignment Year (AY) must submit electronic resúmes (e-Resúmes) using Direct Access. The e-Resumé consists of an introduction and 12 pages of personnel and assignment data.

You will need a computer with access to the Internet. In addition, you will need to obtain a user identification (ID). Your Employee ID number is your user ID unless PSC customer care has given you a different number. Your password is your SSN. You will receive a prompt to change the password once you've entered the system. To access Direct Access, you will need to use the Coast Guard Intranet. Untestable Direct Access Quick Reference Guides are found on the Internet at:

<http://www.uscg.mil/hq/psc/customerservice.htm>

For help, contact PSC Customer Care at 1-866-PSC-USCG (772-8724), toll free. The untestable link to file an on-line Customer Care Trouble Ticket is:

<http://www.uscg.mil/hq/psc/customerservice.htm>

Changing Your Password

Passwords must consist of at least eight characters, two of which must be numeric. They cannot be the same as the user ID number. Always **SAVE** your changes by clicking the SAVE or SUBMIT button.

Passwords expire every 90 days. A reminder alerts the user two days before expiration. After five unsuccessful login attempts, system lockout occurs. If this happens, contact PSC Customer Care or submit an Online Trouble-Ticket.

Entering the Program

To enter the program, first select your language and then sign in using your User ID and Password. Navigate through the program by making various choices from the options offered.

Shown below are various screens and the correct prompts to select from the options in order to view the job postings.



Sample Screen with Highlighted Self Service Option



Sample Screen with Highlighted Self Service-Employee Option



Sample Screen with Highlighted Self Service-Employee-Tasks Option



Sample Screen with Highlighted Self Service-Employee-Tasks-Create e-Resumé Option

View Job Postings

The View Job Postings page requires several entries in order to search your query. These entries are:

- Position Source (*provides a submenu with four choices*)
- Position
- Dept Type
- Department
- State
- Job Family (*the “Lookup Tool” provides job family descriptions*)
- Job Code (*only the job code is needed to search for assignments*)
- Accomplishment
- Competency
- Keywords.

When you have completed the entries for this page, click on the applicable prompts to complete your e-Resumé application.

COAST GUARD
Human Resource System

Home View Worklist Help

Home > Self Service > Employee > Tasks > Create e-Resume [New Window](#)

View Job Postings

Enter your search criteria then click Search

Search Criteria

Position Source: Active Duty PCS Select a Position Source Code

Position: Select a Position Nbr or leave blank for all

Dept Type: Select a Type or leave blank for all

Department: Select a Dept or leave blank for all

State: Select a State or leave blank for all

Job Family: **Click the "Lookup Tool" to search for a Job Family. Click to continue.** Select a Job Family or leave blank for all

Job Code: Select a Jobcode or leave blank for all

Accomplishment: Select an Accomplishment or leave blank for all

Competency: Select a Competency or leave blank for all

Keyword(s): Optional

☐ Include positions NOT on shopping list **Search**

View All First

Incode	Dept	Position	Job Title	Status	Position Source	Job Post #
--------	------	----------	-----------	--------	-----------------	------------

View Job Postings Screen

Creating Your e-Resumé

An interactive tutorial is provided on the Internet to guide you through the program. The untestable link is:

<http://www.uscg.mil/hq/psc/training/index.htm>

To meet this performance requirement, you will need to:

- Create your e-Resumé
- Verify with your supervisor that it is accurate and in the system.



Circle the appropriate answer to the following questions. Correct answers for the exercise are provided at the end of this E-level section.

1. All personnel in the current assignment year are _____.
 - a. Not required to submit electronic resumes.
 - b. Required to submit electronic resumes.
 - c. Not required to apply for the SWE.
 - d. Required to apply for the SWE.
2. Passwords must be at least _____ characters long.
 - a. 4
 - b. 6
 - c. 8
 - d. 10
3. Passwords expire every _____.
 - a. 30 days
 - b. 60 days
 - c. 90 days
 - d. 120 days
4. A reminder alerts you _____ days before password expiration.
 - a. 2
 - b. 3
 - c. 4
 - d. 7

Travel Claim

13-4.02-P

PREPARE a travel claim, as presented in the E-PME Study Guide.

Preparing a Travel Claim

To begin your PCS claim process, you need the following items:

- Your original PCS travel orders, including any amendments or endorsements
- DD Form 1351-2 (Revision March 2000) (Original) (*Form DD-1351-2 is available in either Forms Plus Laser on SWS II, or in USCG Forms. Using either of these programs will ensure your claim is readable.*)
- Original receipts for transportation, lodging, and any reimbursable items \$75.00 or more.

Travel claims are filed in UTS for TDY.

IMPORTANT: A complete and legible travel claim is required to receive correct reimbursement for your expenses.

DD Form 1351-2

The type of information requested on DD Form 1351-2 is described below.

- Blocks 1 through 11 are the identifying blocks of the Travel Claim. These can be considered the MOST IMPORTANT blocks; if not properly completed, your claim will be returned unprocessed.
- Blocks 12 through 14 are for PCS transfers only. TDY travelers need to proceed to block 15 (Itinerary). Submit all claims at the conclusion of all travel (members/dependents).
- Block 15, Itinerary, provides accounting of the time spent on your trip. You need to provide:
 - ▶ ☐ Dates of arrivals and departures
 - ▶ ☐ Locations
 - ▶ ☐ Primary mode of travel used during your trip.

- DD Form 1351-2** List reason(s) for any stops where you overnight (hang your hat).
- Blocks 16 through 19 are for listing your reimbursable expenses.
 - Blocks 20 and 21 are signatory blocks.
 - Block 22 allows for additional remarks.
 - Blocks 23 through 26 are not used.

Completing the DD Form 1351-2 Instructions for completing DD Form 1351-2 are presented in the following table.

Field	Instructions
1. Payment	Electronic Fund Transfer (EFT) is the only option.
2. Type of Payment	Mark the appropriate blocks as applicable to your type of mission.
3. For D.O. use only.	Leave this box BLANK.
4. Name	Use this order for your name: Last Name, First Name, Middle Initial, e.g., Sailor, Susie Q.
5. Grade	Your military rate or rank, e.g., YN2 (E-5), CDR (O-5).
6. SSN	Enter the nine digits of your social security number. NOTE Read the information on the reverse side of the form as required by the Privacy Act of 1974 regarding disclosure of your SSN.
7. Address	7a through 7d: Enter your home mailing address. Be sure to include an apartment number or P.O. Box number as appropriate. NOTE: You must provide a mailing address even if you are requesting payment by EFT. If, for some reason, your direct deposit payment fails, a check may be mailed to the address indicated in blocks 7a-7d. This address will also be used to mail a copy of the Travel Voucher Summary (TVS) or return Incomplete Travel Claims.
8. Daytime Telephone	Enter the area code and telephone number where you can be contacted during the daytime. Continued on next page.

Field	Instructions								
9. Travel Order Number	<p>Enter the Travel Order Number (TONO)/Document ID Number from your travel order. The location of the TONO or Document ID Number, as it is sometimes referred to, varies depending on what type of form or format was used for your original travel order. All TONOs consist of 16 digits – the first four characters represent the Type of Travel (TDY, PCS, Blanket) and the Fiscal Year (FY).</p> <p>TONO Identification. Your TONO should be similar to one of the following:</p> <table border="1"> <thead> <tr> <th>Type of Order</th><th>TONO Example</th></tr> </thead> <tbody> <tr> <td>TAD/TDY</td><td>11/02/23/2/PB/ZA/7000</td></tr> <tr> <td>PCS, Retirement, Discharge</td><td>12/02/23/2/P2/370/000</td></tr> <tr> <td>Blanket or Repeat Orders</td><td>13/02/23/2/ZM/123/000</td></tr> </tbody> </table> <p>The TONO Block MUST be filled out correctly and reflect the number that is on the original orders. If there is an error in this block, the Travel Claim CANNOT be processed.</p> <p><i>Multi Document ID Numbers on Original Orders.</i> There are times when a set of orders has two or more TONOs assigned. You must file a separate Travel Claim for each of the Document IDs, clearly identifying the period of time for EACH of the TONOs on their respective claims. A separate copy of the orders must be submitted with each Travel Claim as if it were a single TONO.</p> <p><i>Reserve ADT Orders.</i> On some orders prepared for reserve members, there are three or more different Document ID numbers. The only TONO that applies to Travel entitlements are one of the travel numbers listed in the prior box: Document Type 11 or 13. Ensure they are on your orders.</p>	Type of Order	TONO Example	TAD/TDY	11/02/23/2/PB/ZA/7000	PCS, Retirement, Discharge	12/02/23/2/P2/370/000	Blanket or Repeat Orders	13/02/23/2/ZM/123/000
Type of Order	TONO Example								
TAD/TDY	11/02/23/2/PB/ZA/7000								
PCS, Retirement, Discharge	12/02/23/2/P2/370/000								
Blanket or Repeat Orders	13/02/23/2/ZM/123/000								
10. Previous Government Payment	<p>Enter the amount of any travel advances taken against the Government and NOT your Government-issued travel credit card. To receive an advance of funds, you had to complete a Standard Form 1038, Advance of Funds Application and Account. Attach a copy of this form as supporting documentation with your travel claim if available.</p> <div style="border: 1px solid black; padding: 5px;"> <p>NOTE: If the advance was taken against your Government-issued travel credit card (ATM withdrawal, for example), it is NOT an advance of funds against the Government and need NOT be listed on the travel voucher</p> </div>								

Continued on next page.

Field	Instructions
11. Organization and Station	This is your Permanent Duty Station. Enter station name and address, i.e., ISC Portsmouth , 4000 Coast Guard Boulevard.
12. Dependent(s)	<ul style="list-style-type: none"> • If your dependent(s) traveled: <ul style="list-style-type: none"> ▸ <input type="checkbox"/> At the same time, From and To the same locations as you did, then mark the ACCOMPANIED box and complete the remainder of the Travel Voucher. ▸ <input type="checkbox"/> At a different time or different location than you, mark the UNACCOMPANIED box and complete the remainder of the Travel Voucher showing your itinerary in block 15. Complete a separate Travel Voucher with the dependent(s) itinerary in blocks 15 a through 15g. • <i>Block 12a:</i> Enter the dependent(s) name(s) in the following format: Last, First, Middle Initial. • <i>Block 12b:</i> Enter the relationship of your dependents. Do NOT list persons who traveled as a result of these orders, but are NOT listed on either your CG-4170 for BAH purposes or a DD-1172 for dependent ID card purposes. <i>In order to be eligible for reimbursement for dependent travel, your dependent(s) must be listed on your Travel Orders.</i> • <i>Block 12c:</i> Enter the date of birth or marriage for that dependent <ul style="list-style-type: none"> ▸ <input type="checkbox"/> <i>Spouse:</i> Enter the date of Marriage ▸ <input type="checkbox"/> <i>Children:</i> Enter date of Birth ▸ <input type="checkbox"/> <i>Others:</i> Enter the date the dependent was approved by the Coast Guard or a DEERS official and listed on your CG-4170A or DD-1172.
13. Dependents' Address	Enter the complete mailing address, including zip code, of your dependent(s) on the date you received your orders.
14. Have goods been shipped?	Indicate, by marking the “Yes” or “No” block, whether or not your household goods have been shipped to the area of your new duty station or to the area where your dependent(s) will reside in your absence. If you marked the “No (Explain in Remarks)” block, please state the reason household goods were not shipped.

Continued on next page.

Field	Instructions
15. Itinerary	<p>This block is to be used to submit accounting of the time spent on your trip. You need to provide dates of arrivals and departures, locations, and <i>primary</i> mode of travel used during your trip. List reason(s) for any stops where you overnight (i.e., flight was canceled). Include itinerary information for each portion of your trip for which you want reimbursement – the distance traveled between various points when traveling by privately-owned conveyance (POC).</p> <div data-bbox="651 615 1411 711" style="border: 1px solid black; padding: 5px;"> <p>NOTE: If you run out of room in the itinerary section (block 15), attach a DD Form 1351-2C, Travel Voucher or Sub-voucher (Continuation Sheet).</p> </div> <ul style="list-style-type: none"> • <i>Block 15a:</i> In the top of the column, enter the year you started the travel. e.g., 2001. In the remaining rows, enter the month and day (e.g., 10/15) for each departure or arrival made during the trip. • <i>Block 15b:</i> Enter the location of each departure or arrival where you over-nighted, during the trip. Include the unit name or other identifying title (home, airport, etc.), city, county and state or country (e.g., Home; Tampa, Hillsborough, FL). Only claim PRIMARY modes of transportation in the itinerary section of the DD-1351. If you are going to claim: <ul style="list-style-type: none"> ▶ <input type="checkbox"/> POV mileage from office or home to an airport (plane being the primary mode of transportation), complete as a reimbursable expense (block 18). ▶ <input type="checkbox"/> Taxi service, request reimbursement in block 18. <div data-bbox="651 1325 1411 1547" style="border: 1px solid black; padding: 5px;"> <p>NOTES: These blocks MUST be filled out accurately to ensure you are paid the correct amount of per-diem for which you are entitled. Per-diem is based on the city/county where you are performing your duties. If you run out of room in the itinerary section (block 15), attach a DD Form 1351-2C, Travel Voucher or Sub-voucher (Continuation Sheet).</p> </div>

Continued on next page.

Field	Instructions																																																																						
15. Itinerary (continued)	<ul style="list-style-type: none"> <i>Block 15c:</i> Enter the appropriate two-letter code in this block using the following: <table border="1"> <thead> <tr> <th colspan="2">First Letter</th><th colspan="2">Second Letter</th></tr> </thead> <tbody> <tr> <td>Transportation Request</td><td>T</td><td>Auto</td><td>A</td></tr> <tr> <td>Government Transportation</td><td>G</td><td>Bus</td><td>B</td></tr> <tr> <td>Commercial Transportation (own expense)</td><td>C</td><td>Plane</td><td>P</td></tr> <tr> <td></td><td></td><td>Rail (Train)</td><td>R</td></tr> <tr> <td>Privately-owned Conveyance</td><td>P</td><td>Vessel</td><td>V</td></tr> <tr> <td></td><td></td><td>Motorcycle</td><td>M</td></tr> </tbody> </table> <i>Block 15d:</i> Enter the appropriate two-letter code in this block, using the following codes, to indicate the reason for stop: <table border="1"> <thead> <tr> <th colspan="2">Stop Code</th></tr> </thead> <tbody> <tr> <td>Awaiting Transportation</td><td>AT</td></tr> <tr> <td>Leave En Route</td><td>LV</td></tr> <tr> <td>Mission Complete</td><td>MC</td></tr> <tr> <td>Authorized Delay</td><td>AD</td></tr> <tr> <td>Temporary Duty</td><td>TD</td></tr> </tbody> </table> <i>Block 15e:</i> Enter the cost of your lodging. <i>Block 15f:</i> Enter the total privately-owned conveyance miles. <p>An example of a properly completed Itinerary portion of a TAD travel claim is presented below. PCS claims will be similar.</p> <table border="1"> <thead> <tr> <th colspan="6">ITINERARY</th></tr> <tr> <th>a. Date</th><th>b. Place</th><th>c. Means/Mode of Travel</th><th>d. Reason for Stop</th><th>e. Lodging Cost</th><th>e. POC Miles</th></tr> </thead> <tbody> <tr> <td>2/13/04</td><td>Home Alameda</td><td>CP</td><td></td><td></td><td></td></tr> <tr> <td></td><td>O'CCGDSEVEN Miami, FL</td><td>CP</td><td>TD</td><td>67.00 Daily Lodging (do NOT include taxes)</td><td></td></tr> <tr> <td>2/26/04</td><td>Home Alameda, ca</td><td></td><td>MC</td><td></td><td></td></tr> </tbody> </table> <p>On a trip from Point A to B and return, the itinerary should list A to B, then B to A.</p> <p>Continued on next page.</p>	First Letter		Second Letter		Transportation Request	T	Auto	A	Government Transportation	G	Bus	B	Commercial Transportation (own expense)	C	Plane	P			Rail (Train)	R	Privately-owned Conveyance	P	Vessel	V			Motorcycle	M	Stop Code		Awaiting Transportation	AT	Leave En Route	LV	Mission Complete	MC	Authorized Delay	AD	Temporary Duty	TD	ITINERARY						a. Date	b. Place	c. Means/Mode of Travel	d. Reason for Stop	e. Lodging Cost	e. POC Miles	2/13/04	Home Alameda	CP					O'CCGDSEVEN Miami, FL	CP	TD	67.00 Daily Lodging (do NOT include taxes)		2/26/04	Home Alameda, ca		MC		
First Letter		Second Letter																																																																					
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2/26/04	Home Alameda, ca		MC																																																																				

Field	Instructions
16. POC Travel	Mark either OWNER/OPERATOR or PASSENGER. If you travel by POC, but do NOT mark this block, you will NOT be reimbursed for claimed mileage.
17. Duration of TDY Travel	Indicate the duration of your TDY by marking the appropriate block.
18. Reimbursable Expenses	<p>Use this section (blocks 18a through 18d) to claim any reimbursable expenses. Detailed instructions for the completion of this block are given in JFTR - Miscellaneous Expense Link.</p> <p>Note: If you run out of room in the Reimbursable Expenses (block 18), attach a DD Form 1351-2C, Travel Voucher or Sub-voucher (Continuation Sheet).</p> <ul style="list-style-type: none"> • Block 18a: Enter the date the expense was incurred. • Block 18b: Enter the purpose of the expenses (e.g., taxi, bridge toll, hotel, rental car, hotel taxes, etc.) For AirFare/lodging reimbursement, a charge card receipt is NOT acceptable as proof of payment since it only shows the amount paid and not for what was purchased. • Block 18c: Enter the amount you are claiming for reimbursement. You must have actually used/procured items to submit a claim for reimbursement. <p>Reminder: You must provide itemized receipts for lodging and any expenses of \$75.00 or more.</p> <p>Block 18d: You do NOT complete this item. Leave blank. An itemized listing of allowed reimbursable expenses along with the amount of reimbursement will be provided in the Travel Voucher Summary (TVS) that will be e-mailed to you at your global e-mail address.</p> <p>Note: Only claim “travel-related” expenses...NOT “mission-related” expenses.</p> <p style="text-align: right;">Continued on next page.</p>

Field	Instructions			
18. Reimbursable Expenses (continued)	An example of a properly completed Reimbursable Expenses section of a travel claim for TAD travel is presented below.			
	Example Completed Reimbursable Expenses			
	a. Date	b. Nature of Expense	c. Amount	d. Allowed
	2/2/04	POC mileage	45 miles	
	2/26/04	Rental car (contract attached)	\$259.00	
	2/27/04	Fuel for rental car	\$20.00	
	2/26/04	Airport parking Oakland	\$50.00	
	2/26/04	04 Hotel taxes	\$31.37	
	2/10/04	Airline ticket Oakland to Miami	\$412.00	
	Policy for Reimbursable Expenses Claims:			
<ul style="list-style-type: none">• An original itemized receipt must accompany all reimbursable expenses of \$75 or over.• Temporary Lodging Expense (TLE) – When staying with friends or relatives, provide a complete mailing address, including county and zip code to ensure proper per-diem is used in calculating reimbursement.• UTS/FAX approving officials must have accessed/viewed all receipts PRIOR to submitting for payment.• If any required receipts are lost/stolen, member must itemize and certify these expenses and sign this certification as authentic.• As a military member of the Coast Guard, you need to follow these rules when claiming reimbursement for telephone calls or other communication charges incurred during the course of official business:• Local calls may only be claimed when the calls were for official business and you provide an itemized listing when you submit your travel voucher.				
Continued on next page.				

Field	Instructions
18. Reimbursable Expenses (continued)	<p>Policy for Reimbursable Expenses Claims (continued);</p> <ul style="list-style-type: none"> • Long distance calls are not reimbursable unless the order-issuing official completes the certification in block 20 of your travel voucher. • You may not certify your own phone calls for reimbursement for official telephone calls or other communication charges. <p>Additional information is given in Military Personnel.</p>
19. Deductible Meals	<p>When on commercial per-diem, itemize any government-provided meals. This will affect your Meals and Incidental Expenses portion for these days.</p>
20. Claimant Signature	<ul style="list-style-type: none"> • <i>Block 20a.</i> Sign your travel voucher. This is <i>very important</i>. Your travel voucher cannot be processed unless you sign it. If you are filing a UTS claim, this must be the ELECTRONIC SIGNATURE...not an ink signature. • <i>Block 20b.</i> Enter the date you sign the travel voucher. <div style="border: 1px solid black; padding: 5px; margin-top: 10px;"> <p>NOTES:</p> <ul style="list-style-type: none"> • PCS: Wait until ALL travelers have completed the travel if a Government Advance of Funds was received. • TDY: The travel voucher must be submitted to your supervisor within three days of completion of your trip. </div> <p style="text-align: right;">Continued on next page.</p>

Field	Instructions
21. Supervisor/ Approving Officer Signature	<p>One of these blocks MUST be completed by the authorized supervisor/administrative reviewer/Approving Official. By signing, the supervisor/administrative reviewer is certifying that the:</p> <ul style="list-style-type: none"> • Travel was performed in accordance with the order as issued/amended. • All expenditures were reasonable, justified, and consistent with the mission. • Travel voucher was completed in accordance with the instructions. • All necessary documentation (orders, receipts, etc.) are attached to the claim. <div style="border: 1px solid black; padding: 5px; margin-top: 10px;"> <p>REMINDERS:</p> <ul style="list-style-type: none"> • If you are filing a UTS claim, it MUST have the ELECTRONIC SIGNATURE. Pen and Ink signatures are NOT allowed. • The administrative review must be completed within two (2) days of receipt of the claim from the traveler. </div>
22. Accounting Classification	Additional Remarks... Supplemental Claim, etc...NOT to be used for an amendment to orders.
23. Collection Data	This block is not to be used by you. Leave Blank.
24. Audited by 25. Travel Order Posted By 26. Received 27. Amount Paid	These blocks are NOT used by you. They will be relayed to you, the traveler, via the Travel Voucher Summary (TVS). The TVS will be sent via e-mail to you at your global e-mail address.

Completing the DD Form 1351-2 A copy of DD Form 1351-2 is found on the following page of this E-PME Study Guide.

TRAVEL VOUCHER OR SUBVOUCHER				Read Privacy Act Statement, Penalty Statement, and Instructions on back before completing form. Use typewriter, ink, or ball point pen. PRESS HARD. DO NOT use pencil. If more space is needed, continue in remarks.					
1. PAYMENT <input type="checkbox"/> Electronic Fund Transfer (EFT) <input type="checkbox"/> Payment by Check		SPLIT DISBURSEMENT: The Paying Office will pay directly to the Government Travel Charge Card contractor the portion of your reimbursement representing travel charges for transportation, lodging, and rental car, unless you elect a different option: a. Pay the entire reimbursement directly to me. b. Pay the following amount of this reimbursement directly to the Government Travel Charge Card contractor: \$ _____							
2. NAME (Last, First, Middle Initial) (Print or type)			3. GRADE		4. SSN		5. TYPE OF PAYMENT (X as applicable) <input type="checkbox"/> TDY <input type="checkbox"/> Member/Employee <input type="checkbox"/> PCS <input type="checkbox"/> Other <input type="checkbox"/> Dependent(s) <input type="checkbox"/> DLA		
6. ADDRESS. a. NUMBER AND STREET			b. CITY		c. STATE		d. ZIP CODE		
e. E-MAIL ADDRESS									
7. DAYTIME TELEPHONE NUMBER & AREA CODE				8. TRAVEL ORDER NUMBER		9. PREVIOUS GOVERNMENT PAYMENTS/ADVANCES		10. FOR D.O. USE ONLY	
11. ORGANIZATION AND STATION								a. D.O. VOUCHER NUMBER	
								b. SUBVOUCHER NUMBER	
12. DEPENDENT(S) (X and complete as applicable)				13. DEPENDENTS' ADDRESS ON RECEIPT OF ORDERS (Include Zip Code)				c. PAID BY	
<input type="checkbox"/> ACCOMPANIED		<input type="checkbox"/> UNACCOMPANIED							
a. NAME (Last, First, Middle Initial)		b. RELATIONSHIP		c. DATE OF BIRTH OR MARRIAGE					
				14. HAVE HOUSEHOLD GOODS BEEN SHIPPED? (X one) Yes <input type="checkbox"/> No <input type="checkbox"/> (No (Explain in Remarks))				d. COMPUTATIONS	
15. ITINERARY									
a. DATE	b. PLACE (Home, Office, Base, Activity, City and State; City and Country, etc.)			c. MEANS/ MODE OF TRAVEL	d. REASON FOR STOP	e. LODGING COST	f. POC MILES		

DD FORM 1351-2, JUN 2002

PREVIOUS EDITIONS OF DD FORM 1351-2 AND 1351-1
MAY BE USED UNTIL SUPPLY IS EXHAUSTED

Exception to SF 1012 approved by GSA/IRMS 12-91

Reset

***Supplemental
Travel Claim
Submission***

On occasion, a submitted travel claim that does not have ALL the required information is processed with the partial information. The required information not included may have been:

- A receipt (plane, hotel lodging, etc.)
- An overpayment. For example, a member was overpaid because an entitlement (such as meals) wasn't identified as being provided on the original claim.

You must submit a supplemental travel claim when an error is discovered from a processed travel claim. The procedures to correctly process a travel claim are very similar to filing your original claim.

When submitting a supplemental travel claim, follow these steps:

- Obtain ALL documentation from your original submission and make legible copies; submit the documentation with your supplemental claim.
 - In LARGE letters on the TOP and BOTTOM of A NEW DD-1351, write the word "SUPPLEMENTAL".
 - Clearly identify the reason for the supplemental claim (i.e., Lodging – \$\$\$\$ amount).
 - Indicate in Remarks (Block 22) that proper documentation is enclosed for the supplemental claim.
 - Both the member and Approving Official/Administrative Reviewer MUST sign and date the supplemental claim.
 - If the original travel order did NOT authorize the additional claimed items, an Amendment To Orders MUST be completed.
-

Unit Travel System

For Temporary Duty (TDY) travel, you must submit your claim for travel expense reimbursement electronically using the Unit Travel System (UTS), Coast Guard's travel software.

NOTE: Be sure to designate the proper office in your Profile or you will not be able to save your entries or to revise them.

UTS can be accessed several ways through these untestable links:

- Internet: By logging in on PSC's home page:
<http://www.uscg.mil/hq/psc/quickrefguides.htm#travel>
- Intranet: FINCEN website:
<http://cgweb.fincen.uscg.mil/metaframe.htm>
- Assistance: Available at this website:
<http://www.uscg.mil/hq/psc/customerservice.htm>

Once UTS is accessed, you need to log on and set up your profile. Then, you enter your claim and forward it for approval.

An untestable Quick Reference Guide to help you navigate through the UTS software is available on the Internet at:

<http://www.uscg.mil/hq/psc/Manuals-Pubs-Newsletters/Travel/uts/quickref.pdf>

This guide covers all the basics, from signing on to completing your first set of orders and travel claim.

Accounting Data

A frequent cause for delays in processing travel claims is incorrect accounting data. The following review will help you to determine whether or not the accounting data on your travel order is correct.

- Document Number
- Accounting String.

The untestable Quick Reference Guide for Travel Claims can be found on the following website:

<http://www.uscg.mil/hq/psc/quickrefguides.htm#travel>

Note: Not all the information on the Quick Reference Guide is testable. Only the information presented in this Study Guide will be used in both the End of Course and SWE tests.

Document Number The Document ID Number or Travel Order Number (TONO) consists of 16 digits. The first four digits represent the type of travel and fiscal year. Your TONO should be similar to one of the following:

Type of Order	TONO Example
TDY	11/02/23/4/PB/ZA7/000
PCS, Retirement, Discharge	12/02/23/4/P2/370/000
Blanket or Repeat	13/02/23/4/ZM/123/000

Only TONOs that begin with 11, 12, or 13 are to be submitted to the Personnel Support Center (PSC) for liquidation.

Accounting String The accounting string is used to charge the cost of travel to the appropriate unit and funding account. The string is represented by a series of alphanumeric characters.

The general format of Coast Guard accounting line data is:

2/	F/	201/	136/	30/ 0/	AB/	12345/	2100
Agency	Region	Appn	Appn	Allotment	Program	Cost	Object
Code “2”	District	Code	Limitation	Level	Element	Center	Class

Document Type 33 and Self Procured Moves Forward claims for reimbursement to the Coast Guard Finance Center (FINCEN) for the following:

- Document Type 33 (miscellaneous items)
- Self procured moves.

These types of claims are not processed by PSC (tvI). Send Document type 33 and Self Procured Move claims to:

Commanding Officer
U.S. Coast Guard Finance Center
1430 A Kristina Way
Chesapeake, VA 23326-1000

**Local 1164
Travel**

Local Travel is claimed on Standard Form 1164, which is available on USCG Forms or may be completed on UTS. If a claimed expense is denied by the Personnel Support Center (PSC) (TVL) as a non-travel item, submit the form to FINCEN at the following address:

Commanding Officer
U.S. Coast Guard Finance Center
1430 A Kristina Way
Chesapeake, VA 23326-1000

A copy of Standard Form 1164 is found on the following pages.

CLAIM FOR REIMBURSEMENT FOR EXPENDITURES ON OFFICIAL BUSINESS		1. DEPARTMENT OR ESTABLISHMENT, BUREAU, DIVISION OR OFFICE		2. VOUCHER NUMBER					
				3. SCHEDULE NUMBER					
Read the Privacy Act Statement page 2 of this form.				5. PAID BY					
4. C L A I M A N T	a. NAME (Last, first, middle initial)		b. SOCIAL SECURITY NO.						
	c. MAILING ADDRESS (Include ZIP Code)		d. OFFICE TELEPHONE NUMBER						
6. EXPENDITURES (If fare claimed in col. (g) exceeds charge for one person, show in col. (h) the number of additional persons which accompanied the Claimant.)									
DATE	Show appropriate code in col. (b): A - Local travel B - Telephone or telegraph, or C - Other Expenses (itemized)		MILEAGE RATE	AMOUNT CLAIMED					
	(b)	(Explain expenditures in specific detail.)		NO. OF MILES (e)	MILEAGE (f)	FARE OR TOLL (g)	ADD PER- SONS (h)	TIPS AND MISCEL- LANEOUS (i)	
(a)	(b)	(c) FROM	(d) TO	(e)	(f)	(g)	(h)	(i)	
If additional space is required continue on page 2.				SUBTOTALS CARRIED FORWARD FROM THE BACK	0	0.00	0.00	0	0.00
7. AMOUNT CLAIMED (Total of cols. (f), (g) and (i).)				TOTALS	0	0.00	0.00	0	0.00
8. This claim is approved. Long distance telephone calls, if shown, are certified as necessary in the interest of the Government. (Note: if long distance calls are included, the approving official must have been authorized in writing, by the head of the department or agency to so certify (31 U.S.C. 680a).) <div style="text-align: right;">Sign Original Only</div> <div style="text-align: right;">DATE</div>					10. I certify that this claim is true and correct to the best of my knowledge and belief and that payment or credit has not been received by me. <div style="text-align: right;">Sign Original Only</div> PAYMENT DESIRED <input type="checkbox"/> CHECK <input type="checkbox"/> CASH <div style="text-align: right;">DATE</div> CLAIMANT SIGN HERE				
APPROVING OFFICIAL SIGN HERE 9. This claim is certified correct and proper for payment. <div style="text-align: right;">Sign Original Only</div> <div style="text-align: right;">DATE</div>					11. CASH PAYMENT RECEIPT a. PAYEE (Signature) b. DATE RECEIVED c. AMOUNT				
AUTHORIZED CERTIFYING OFFICER SIGN HERE ACCOUNTING CLASSIFICATION					12. PAYMENT MADE BY CHECK NO.				

 STANDARD FORM 1164 (Rev. 11-77)
 Prescribed by GSA, FPMR (CFR 41) 101-7

Reset

-Place Holder-

[illegible]

In compliance with the Privacy Act of 1974, the following information is provided: Solicitation of the information on this form is authorized by 5 U.S.C. Chapter 55 as implemented by the Federal Travel Regulations (FPMR 101-7, E.O. 11609 of July 22, 1971, E.O. 11012 of March 27, 1962, E.O. 9397 of November 22, 1943, and 26 U.S.C. 6011(b) and 6109. The primary purpose of the requested information is to determine payment or reimbursement to eligible individuals for allowable travel and/or other expenses incurred under appropriate administrative authorization and to record and maintain costs of such reimbursements to the Government. The information will be used by Federal agency officers and employees who have a need for the information in the performance of their official duties. The information may be disclosed to appropriate Federal, State, local, or foreign agencies, when relevant to civil, criminal, or regulatory investigations or prosecutions, or when pursuant to a requirement by this agency in connection with the hiring or firing of an employee, the issuance of a security clearance, or investigations of the performance of official duty while in Government service. Your Social Security Account Number (SSN) is solicited under the authority of the Internal Revenue Code (26 U.S.C. 6011(b) and 6109) and E.O. 9397, November 22, 1943, for use as a taxpayer and/or employee identification number; disclosure is MANDATORY on vouchers claiming payment or reimbursement which is, or may be, taxable income. Disclosure of your SSN and other requested information is voluntary in all other instances; however, failure to provide the information (other than SSN) required to support the claim may result in delay or loss of reimbursement.

Reset

Amendments to Travel Orders

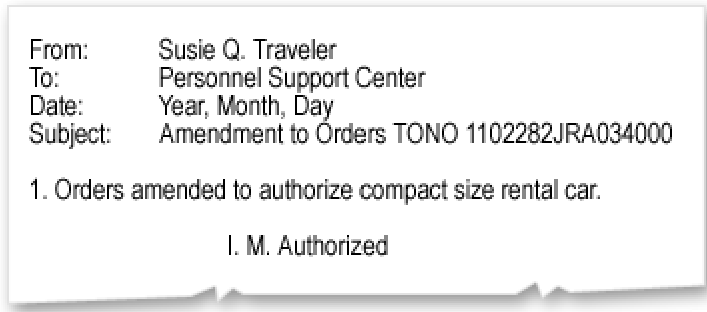
Amendments to travel orders are required when authorized travel entitlements change. For example, a rental car or an actual expense for lodging is required that was not known when the original orders were prepared.

When preparing an Amendment to Orders, identify the following on the amendment:

- Traveler Name
- Full TONO/accounting data
- Changes to the original orders.

Per-diem rates for a member CANNOT be lowered after the travel has been completed. It is recommended that amendments be prepared in Coast Guard letter-type format.

Review the example format shown here.



From: Susie Q. Traveler
To: Personnel Support Center
Date: Year, Month, Day
Subject: Amendment to Orders TONO 1102282JRA034000

1. Orders amended to authorize compact size rental car.

I. M. Authorized

Completing a Travel Claim

For this performance requirement, you need to complete a sample Travel Claim using the following information or create your own Coast Guard TDY scenario. Submit the completed travel claim to your supervisor.

You received TDY orders to attend a five-day course in Seattle, WA on government network security.

- You are currently stationed at Air Station Savannah, GA.
- Your round-trip airline ticket cost \$840.
- Car rental expense was \$287.50.
- Road tolls amounted to \$20.00
- Your hotel lodging came to \$120.00 plus \$12.00 tax per day.
- Meals were not provided.
- Roundtrip taxi fare to and from Savannah airport amounted to \$36.00, plus a \$3 tip each way.

***Travel Claim
Reminders***

When completing your travel claim, remember that:

- Direct Access, Travel and UTS Customer Care can be reached by calling toll-free: 866-PSC-USCG (772-8724).
 - Copy of SF-1038 (Advance of Funds) should be attached if advance funds were received. An advance against YOUR Government-issued travel credit card IS NOT considered an advance of funds.
 - Ensure you have a signed copy (UTS electronic signature) of orders, amendments, endorsements, and receipts to the travel claim.
-



Select T for True or F for False for each question. Correct answers for the exercise are provided at the end of this E-level section.

- | | |
|--------------------------------|---|
| <input type="checkbox"/> True | 1. PCS travel claims are submitted on Standard Form 1164. |
| <input type="checkbox"/> False | |
| <input type="checkbox"/> True | 2. You must include receipts for any reimbursable items \$50 or more. |
| <input type="checkbox"/> False | |
| <input type="checkbox"/> True | 3. If a required receipt is lost or stolen, you must itemize and certify the expense. |
| <input type="checkbox"/> False | |
| <input type="checkbox"/> True | 4. To be submitted to PSC for liquidation, the TONO number must begin with 10, 11, or 12. |
| <input type="checkbox"/> False | |
| <input type="checkbox"/> True | 5. In completing block 1 of the form, the only payment option is electronic fund transfer. |
| <input type="checkbox"/> False | |
| <input type="checkbox"/> True | 6. If your dependents traveled at a different time, you need to complete a separate Travel Voucher with the dependent(s) itinerary in block 15. |
| <input type="checkbox"/> False | |

Chapter 14

Operational Risk Management terms

14-4.01-K

KNOW the meanings of the following Operational Risk Management (ORM) terms, as presented in the E-PME Study Guide:

- Operational Risk Management
- Risk
- Severity
- Probability
- Exposure
- Mishap
- Hazard
- Risk Assessment
- Risk Rating Scale

Introduction



One of the Coast Guard's specific goals is to minimize personnel loss and property damage due to mishaps. With new weapon systems being added to Coast Guard inventory, deployments that stretch resources, and the constant addition of new technology, safety problems arise that must be addressed. To assist commanders in meeting this challenge, the Coast Guard established the Mishap Prevention Program.

A mishap is an unplanned or unsought event or series of events that may result in death, injury, or occupational illness to Coast Guard and non-Coast Guard personnel as a result of a Coast Guard operation. Included is damage to or loss of Coast Guard equipment or property.

Mishap records show that approximately 88 percent of all mishaps are due to the unsafe acts of people, while 10 percent are due to unsafe conditions not identified or corrected by people. Thus, 98 percent of all mishaps in the Coast Guard are attributed to unsafe acts and conditions caused by human beings. These mishaps are preventable.

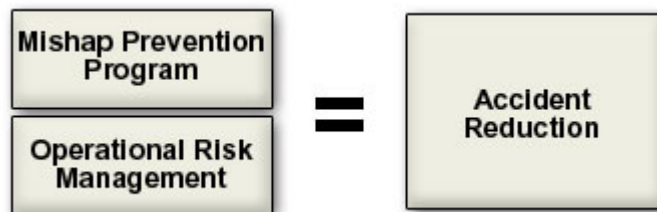
Expertise in the fields of safety, first aid, survival, and disaster preparedness is critical to the success of Coast Guard members.

**Introduction
(continued)**

The main goal of most preventive measures is to ensure Coast Guard personnel understand that mishaps can be controlled and that they play a vital role in our preventive effort.

The Mishap Prevention Program coupled with the tools of Operational Risk Management (ORM) are designed to eliminate unsafe acts by people, as well as reduce or eliminate unsafe mechanical or physical conditions. Within the Coast Guard, while managers are directly responsible for safety, supervisors are the key persons in the mishap prevention process.

From a mission readiness standpoint, as well as for health, economic, and morale reasons, mishap prevention is good sense. With force reduction and shrinking budgetary dollars, the Coast Guard cannot afford any loss of precious resources to mishaps.

**Operational Risk
Management
Terms**

Safety is defined as the identification and control of risk.

Risk management is an effective process by which we can maintain an acceptable level of safety during missions. You need to be familiar with the following risk management terminology.

- Operational Risk Management
- Risk
- Severity
- Probability
- Exposure
- Mishap
- Hazard
- Risk Assessment
- Risk rating scale.

Operational Risk Management

Operational Risk Management (ORM) is a continuous, systematic process of identifying and controlling risks in all activities according to a set of pre-conceived parameters by applying appropriate management policies and procedures.

This process includes detecting hazards, assessing risks, and implementing and monitoring risk controls to support effective, risk-based decision-making.

Risk

Risk is the chance of personal injury or property damage or loss, determined by combining the results of individual evaluations of specific elements that contribute to the majority of risk concerns.

Risk generally is a function of severity and probability. The models in this chapter, however, single out ***exposure*** as a third risk factor.

Severity

Severity is an event's potential consequences in terms of degree of damage, injury, or impact on a mission.

Probability

Probability is the likelihood an individual event will occur.

Exposure

Exposure incorporates the following factors involved in a given event:

- Amount of time
- Number of cycles
- Number of people involved and/or
- Amount of equipment.

These factors are expressed in time, proximity, volume, or repetition.

Mishap

Mishap is an unplanned single or series of events causing death, injury, occupational illness, or damage to or loss of equipment or property.

Hazard

Hazard is any real or potential condition that can endanger a mission; cause personal injury, illness, or death; or damage equipment or property.

Risk Assessment Risk Assessment is the systematic process of evaluating various risk levels for specific hazards identified with a particular task or operation.

Various models are available to complete this step in the ORM process.

Risk Rating Scale The Risk Rating Scale is a scale of specific risk degrees, determined during the ORM risk assessment step.

Various Coast Guard communities and activities should use the safety industry's standard terms low, medium, and high when discussing risk across program lines. However, each community will define low, medium, and high risk in terms meaningful to its own personnel.



Match each definition with its Operational Risk Management term. Correct answers for the exercise are provided at the end of this E-level section.

Definition	ORM Term
_____ Continuous, systematic process of identifying and controlling risks in all activities	a. Mishap
_____ Real or potential condition that can endanger a mission	b. Risk
_____ Degree of damage, injury, or impact on a mission	c. Operational Risk Management
_____ The determined chance of personal injury or property damage or loss	d. Severity
_____ Unplanned event(s) causing death, injury, occupational illness, or damage	e. Hazard
_____ The amount of time or equipment, and/or number of cycles or people involved in a given event	f. Risk assessment
_____ The likelihood an individual event will occur	g. Risk rating scale
_____ Systematic process of evaluating various risk levels for specific hazards	h. Exposure
_____ Specific scaled risk degrees determined by the ORM process	i. Probability

Incident Command System

14-4.02-K

KNOW the basic organizational structure of the Incident Command System, as presented in the E-PME Study Guide.

**Incident
Command
System**

National Interagency Incident Management System (NIIMS) Incident Command System (ICS) is a standardized response management system. It is an "all hazard – all risk" approach to managing crisis response operations as well as non-crisis events.

ICS is organizationally flexible and capable of expanding and contracting to accommodate responses or events of varying size or complexity. While several versions of ICS are used by other organizations, the Coast Guard has adopted the NIIMS version.

The principles of this on-site management system can be applied to all types of incidents, such as floods, hurricanes, search and rescue (SAR), law enforcement, oil spills and hazardous substances releases, and to planned events such as marine parades.

ICS overlays, but does not replace, existing Coast Guard response organizational structures.

SAR Operations

SAR operations must be carried out in accordance with the National Search and Rescue Plan, which adopts international SAR terminology and procedures of the International Aeronautical and Maritime Search and Rescue Manual, other pertinent documents used worldwide, and the interagency National Search and Rescue Supplement. These documents have their basis in international law that U.S. SAR services are obligated to follow.

Coast Guard personnel with SAR responsibilities should receive sufficient ICS training to enable them to carry out their respective duties during events where ICS is being used. These events include salvage, body recovery, pollution response, investigation, or other operations that are sometimes closely associated with SAR.

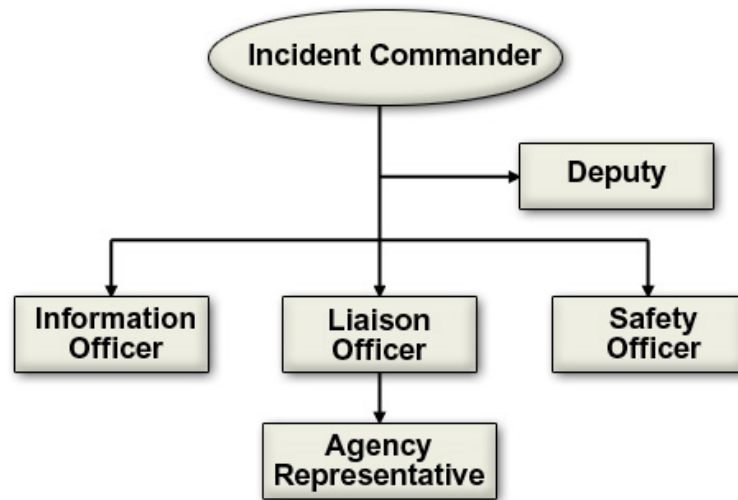
***NIIMS ICS
Advantages***

The adoption of NIIMS ICS provides the Coast Guard with many advantages:

- **Flexible.** NIIMS ICS is a flexible, standardized response management system that will allow for the cultivation of response management expertise at all levels of Coast Guard command.
 - **Increased support.** NIIMS ICS provides for an increased support of trained personnel during major incidents.
 - **Public domain.** NIIMS is a “public domain” system that allows unrestricted distribution by commanding officers to improve the capabilities of and unify the local response community into a more effective organization.
 - **All hazard all risk.** NIIMS ICS applies to any response situation (“all hazard – all risk”).
 - **Expansion/contraction.** NIIMS ICS is organizationally flexible and capable of expanding and contracting to accommodate responses or events of varying size or complexity.
 - **Autonomy.** NIIMS ICS maintains autonomy for each agency participating in the response.
 - **Pre-response planning tool.** NIIMS ICS serves as an invaluable tool to prepare ahead for incidents and meet Coast Guard missions with minimal risk to personnel, equipment, and property.
-

Organizational Structure

The basic organizational structure of the ICS is depicted in the following flowchart. This flowchart portrays the ICS Command Staff organization.



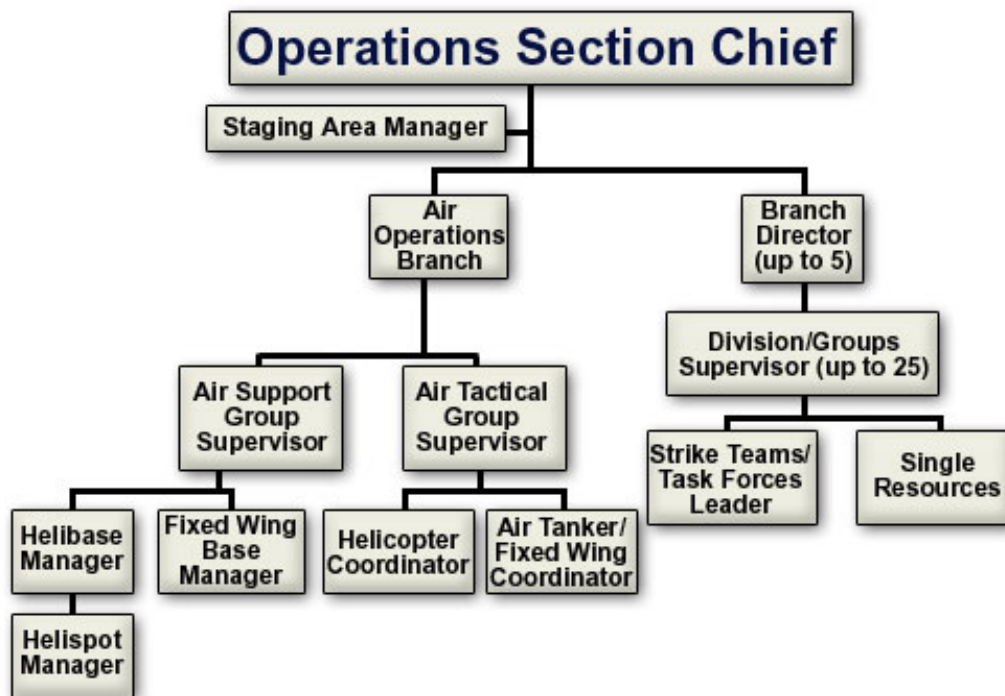
- **Incident Commander.** The Incident Commander (IC) is responsible for the overall management of the incident. The IC is selected by qualifications and experience. On most incidents, the command activity is carried out by a single IC.
- **Incident Commander Deputy.** The Incident Commander (IC) may have a deputy, either from the same agency or from an assisting agency. Deputies may also be assigned at section and branch levels of the ICS organization. Deputies must have the same qualifications as the IC to enable them to take over the IC position at any time. The responsibilities of the IC Deputy are many.
- **Information Officer.** The Information Officer (IO) is responsible for developing and releasing information about the incident to the news media, incident personnel, and other appropriate agencies and organizations.
- **Liaison Officer.** The Liaison Officer (LO) classification was established for incidents that are multi-jurisdictional, or involve several agencies. Only one LO is to be assigned for each incident operating under a Unified Command (UC) and for multi-jurisdiction incidents. The LO may have assistants if needed; the assistants may also represent assisting agencies or jurisdictions.

***Organizational
Structure
(continued)***

- **Safety Officer.** The Safety Officer (SO) develops and recommends measures for assuring personnel safety, and assesses or anticipates hazardous and unsafe situations. Only one SO is assigned for each incident. SOs may have assistants as needed. The assistants may also represent assisting agencies or jurisdictions. They may have specific responsibilities such as air operations, hazardous materials, etc.
 - **Agency Representative.** In many multi-jurisdiction incidents, an agency or jurisdiction may send a representative to assist in coordination efforts. He or she is NOT there on direct tactical assignment. The Agency Representative (AR) is assigned an incident from an assisting or cooperating agency. The AR is delegated the authority to make decisions on matters affecting that agency's participation at the incident. ARs report to the LO, or the IC in the absence of an LO.
-

Operations Organization

The following Operations organizational flowchart portrays where an air mission is involved.



- **Operations Section Chief.** The Operations Section Chief (OPS) is a member of the General Staff. He or she is responsible for the management of all operations directly applicable to the primary mission.
- **Staging Area Manager.** The Staging Area Manager is responsible for managing all activities within a Staging Area (the location where incident personnel and equipment are assigned awaiting tactical assignment).
- **Branch Director (up to 5).** The Branch Director is under the direction of the OPS when activated. He or she is responsible for implementing the portion of the Incident Action Plan (IAP) appropriate to the branches.

*Operations
Organization
(continued)*

- **Division/Group Supervisor (up to 25).** The Division/Group Supervisor reports to the OPS (or Branch Director when activated). He or she is responsible for the implementation of the assigned portion of the IAP, assignment of resources with the Division/Group, and reporting on the progress of control operations and status of resources within the Division/Group.
 - **Strike Team/Task Force Leaders.** The Strike Team/Task Force Leader reports to a Division/Group Supervisor. He or she is responsible for performing tactical assignments assigned to the Strike Team or Task Force, reporting work progress, resources status, and other important information to a Division/Group Supervisor, and maintaining work records on assigned personnel.
 - **Single Resource.** The Single Resource is the person in charge of a single tactical resource.
 - **Air Operations Branch Director.** The Air Operation Branch Director (AIROPS) is ground-based and is primarily responsible for preparing the air operations portion of the IAP. The plan will reflect agency restrictions that have an impact on the operational capability or utilization of resources (e.g., night flying, hours per pilot). When the plan is approved, the Air Operation Branch Director is responsible for implementing strategic aspects that relate to the overall incident strategy and providing logistical support to helicopters operating on the incident.
 - **Air Tactical Group Supervisor.** The Air Tactical Group Supervisor reports to the AIROPS. He or she is primarily responsible for the coordination of aircraft operations when fixed rotary-wing aircraft are operating on an incident. These coordination activities are performed while airborne.
 - **Helicopter Coordinator.** The Helicopter Coordinator reports to the Air Tactical Group Supervisor. He or she is primarily responsible for coordinating tactical or logistical helicopter mission(s) at the incident. This can be airborne or on the ground operating from a high vantage point. Activation of this position is contingent upon the complexity of the incident and the number of assigned helicopters. There may be more than one Helicopter Coordinator assigned to an incident.
 - **Air Tanker/Fixed-Wing Coordinator.** The Air Tanker/Fixed-Wing Coordinator reports to the Air Tactical Group Supervisor. He or she is primarily responsible for coordinating assigned air tanker operations at the incident. Activation of this position is contingent upon the need or upon the complexity of the incident.
-

**Operations
Organization
(continued)**

- **Air Support Group Supervisor.** The Air Support Group Supervisor reports to the AIROPS. He or she is primarily responsible for supporting and managing helibase and helispot operations and maintaining liaison with fixed-wing air bases. This includes providing fuel and other supplies, maintenance and repair of helicopters, and retardant mixing and loading. Also includes keeping records of helicopter activity and providing enforcement of safety regulations. These major functions are performed at helibases and helispots. Helicopters during landing and take-off and while on the ground are under the control of the Air Support Groups Helibase or Helispot Managers.
- **Helibase Manager.** The Helibase Manager reports to the Air Support Group Supervisor. He or she is responsible for control of helicopters during landing and take-off and while on the ground.
- **Fixed Wing Base Manager.** The Fixed Wing Base Manager is responsible for aircraft and landing strips in the area.
- **Helicopter Coordinator.** The Helicopter Coordinator reports to the Air Tactical Group Supervisor. He or she is primarily responsible for coordinating tactical or logistical helicopter mission(s) at the incident. This can be airborne or on the ground operating from a high vantage point. Activation of this position is contingent upon the complexity of the incident and the number of assigned helicopters. There may be more than one Helicopter Coordinator assigned to an incident.
- **Air Tanker/Fixed-Wing Coordinator.** The Air Tanker/Fixed-Wing Coordinator reports to the Air Tactical Group Supervisor. He or she is primarily responsible for coordinating assigned air tanker operations at the incident. Activation of this position is contingent upon the need or upon the complexity of the incident.
- **Helispot Manager.** The Helispot Manager reports to the Helibase Manager. He or she is responsible for activities involving the assigned helispot.

ICS organization may be developed to respond to a particular type of incident. For example, an incident-specific position involving Law Enforcement would be the Vessel Disposition Group Supervisor.

Coast Guard response personnel can come from any component of the Coast Guard (active duty, reserve, auxiliary, or civilian employees). Responders should have a basic understanding of ICS to ensure they can effectively operate within the ICS organization and properly use and understand the Incident Management Handbook.



Answer the following True or False questions. Correct answers for the exercise are provided at the end of this E-level section.

- ☐ True 1. Coast Guard response personnel can come from the Coast Guard Auxiliary.
☐ False
- ☐ True 2. The Incident Commander is the highest-ranking person at the unit.
☐ False
- ☐ True 3. The Incident Command System is a standardized response management system.
☐ False
- ☐ True 4. The principles of the NIIMS ICS are limited to certain types of incidents.
☐ False
- ☐ True 5. In the ICS, each agency participating in the response is dependent on the initial
☐ False responding agency.

Chapter 15

Applicable Safety Precautions

15-4.01-K

KNOW all the applicable safety precautions when performing the following tasks, as presented in the E-PME Study Guide:

- Working on or around machinery
- Using hand and power tools
- Entering or working in tanks, voids, and unventilated spaces
- Performing watch standing duties in machinery spaces
- Working on or around electrical equipment
- Handling flammable or toxic materials
- Working aloft
- Working over the side
- Bio-hazardous Material.

Applicable Safety Precautions

This chapter addresses applicable safety precautions for the tasks shown below.

- Working on or around machinery
- Using hand and power tools
- Entering or working in tanks, voids, and unventilated spaces
- Performing watch standing duties in machinery spaces
- Working on or around electrical equipment
- Handling flammable or toxic materials
- Working aloft
- Working over the side
- Bio-hazardous Material.

Working On or Around Machinery

Moving machine parts can cause severe workplace injuries such as crushed fingers, hands, or arms; amputations; burns; and blindness, just to name a few.

***Working On or
Around Machinery
(continued)***

When the operation of a machine or accidental contact with it can injure the operator or others in the vicinity, the hazards must be either controlled or eliminated by installing safeguards. These safeguards are essential for protecting workers from needless and preventable injuries.

The most common hazards are flywheels, shafts, clutches, and wenchers. All of these require safeguards securely fixed to protect workers from contacting them while they are in motion.

A good rule to remember is that any machine part, function, or process that could cause injury must be safeguarded.

***Using Hand and
Power Tools***

While manufacturers produce tools with safety in mind, they are not hazard-free. Most people do not think of hand and power tools as being dangerous. Unfortunately, many people sustain serious injuries each year from hand and power tools. Most hazards strike without warning!

Safety precautions are necessary to remove or prevent these hazards. Hand and power tools are dangerous in part, because everyone is so familiar with them.

Hand Tools

Hand tools are non-powered: axes, hammers, screwdrivers, etc. The greatest hazards posed by hand tools result from misuse and improper maintenance. Misuse involves using tools for things that they are not designed or intended for that purpose.

Some examples include using:

- A screwdriver as a chisel, which can break the screwdriver tip sending fragments flying. These fragments can hit the user or others nearby.
- Hammers or axes with loose, splintered, or cracked wooden handles. These handles can cause the head to fly off.
- Sprung wrench jaws, which can slip.

Power Tools

With electric power tools, there are still more applicable safety precautions to consider. These involve:

- Cords, plugs, hoses, and tool casings
- Grounding and insulation
- Personal protective equipment.

Cords, Plugs,
Hoses, and Tool
Casings

Abiding by the following rules will help prevent injuries:

- Always inspect cords, plugs, and tool casings before each use.
- Never carry tools by the cord or hose.
- Never yank cords or hoses to disconnect them from receptacles.
- Keep cords and hoses away from heat, oil, and sharp edges.
- Always disconnect tools when not in use, before servicing, and when changing accessories like blades, bits, and cutters.

Grounding and
Insulation

To protect the user from shock, tools must have a 3-wire cord with grounding and be used with grounded receptacles.

Double insulated tools do not require a three-pronged plug. NEVER remove the third prong from the plug.

Personal
Protective
Equipment

Eye, face, and ear protection should be worn at all times when using power tools.

Basic Safety Rules

Hazards associated with hand and power tools can be alleviated by following six basic safety rules:

1. Keep all tools in good condition with regular maintenance and proper guards in place.
2. Use the right tool for the job.
3. Examine each tool for damage before use.
4. Operate according to the manufacturer's instructions.
5. Provide and use the proper protective equipment. (**This cannot be over emphasized.**)
6. Tag defective tools "Do Not Use" and immediately remove from service. (*For example, if an electric drill is missing the grounding prong from the plug, tag it and remove it from service until it can be repaired. If it cannot be repaired, then properly dispose of it.*)

***Entering or
Working in Tanks,
Voids, and
Unventilated
Spaces***

Tanks, voids, and unventilated spaces are classified as confined spaces. Confined spaces are any areas that have all three characteristics:

- Large enough and so configured that an employee can bodily enter and perform assigned work
- Limited or restricted means for entry and exit
- Not designed for continuous human occupancy or worked in on a full-time basis.

***Entering or
Working in Tanks,
Voids, and
Unventilated
Spaces
(continued)***

Confined spaces can increase the risk of injury and death by forcing entrants to work in close proximity to hazards. While it is impossible to determine all the hazards inside the space until the space is opened, most can be anticipated.

Each confined space has unique contents, configuration, ventilation, temperature variations, etc., and each of the space's hazards can affect the others. Some spaces present entrapment hazards; others contain atmospheric hazards; some contain both.

All confined spaces are to be considered hazardous until proven otherwise. Low oxygen, explosive vapors, and toxic fumes are the most common finding upon initial testing of a confined space. Confined spaces are either a:

- Non-permit confined space. A non-permit confined space does not contain hazards or potential hazards. Once determined a non-permit confined space, no special requirements are necessary for entry by any employee.

– OR –

- Permit-required confined space. A permit-required confined space contains or has potential to contain:
 - ▶ ☐ A known or potentially hazardous atmosphere (i.e., fuel tanks, CHT tanks, ballast tanks, etc.)
 - ▶ ☐ Material capable of engulfing entrants (soil, sand, grain, woodchips, etc.)
 - ▶ ☐ An internal configuration such that an entrant could be trapped or asphyxiated by inwardly converging walls or by a dangerously sloping floor
 - ▶ ☐ Any other recognized serious safety or health hazard.

Not all confined spaces are permit-required.

Ashore examples

Some examples of permit-required confined spaces ashore include:

- Process vessels, silos, pits, sewers, boilers, vaults, pipelines, and storm drains
- Open-top permit spaces include pits, degreasers, open water tanks, ship holds, excavations, and trenches.

Vessel examples

Some examples of permit-required confined spaces on cutters and other vessels include:

- Fuel tanks
- Cofferdams
- Double bottoms
- Ballast tanks
- CHT storage tanks.

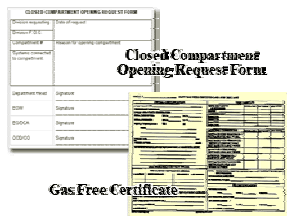
Aircraft examples

Examples of aircraft confined space include:

- Wing tanks, fuel cells
- APO spaces
- Center tanks.

Opening Confined Spaces

A Closed Compartment Opening Request Form is not required to open confined spaces. However, it can be an effective tool to communicate the need to open a confined space. Before opening confined spaces:



- Tag out all systems connected to affected space and make entry into DC closure log as per Coast Guard regulations manual. M5000.3 (series).
- Ensure a Gas Free Engineer (GFE) is present at the space opening prior to opening space.
- Ventilate space for 24 hours.

NOTE: After confined space is opened and tested, GFE will issue a gas free certificate stating the condition of the confined space and the safety precautions to be observed while working in the confined space. Ensure that the gas free certificate is posted at all space openings bridge or quarterdeck and EOW log.

Opening Confined Spaces The Closed Compartment Opening Request Form follows.
(continued)

CLOSED COMPARTMENT OPENING REQUEST FORM	
Division requesting	Date of request
Division P.O.C.	
Compartment #	Reason for opening compartment
Systems connected to compartment.	
Department Head	Signature
EOW	Signature
EO/DCA	Signature
OOD/CO	Signature

Performing Watch Standing Duties in Machinery Spaces

Machinery spaces present various hazards to personnel, such as loud noise, moving parts, and high heat. However, it is easy protect yourself and personnel from noise and moving parts.

- **Loud noise.** Hearing protection is essential equipment for watch standing personnel. Protection comes in the form of earplugs or earmuffs.
 - ▶ ☐ If personnel are exposed to 85 dB of noise, single hearing protection is required. This can be earplugs or earmuffs.
 - ▶ ☐ If a noise level of 105 dB is present (usually in engine rooms), double hearing protection is required. Earplugs and earmuffs both are worn to achieve double hearing protection.

***Performing Watch
Standing Duties in
Machinery Spaces
(continued)***

- **Moving parts.** Flywheels, shafts, generators, and clutches are all common moving parts that can be found in a machinery space. All these parts should have guards to prevent personnel from coming in contact with them while they are moving. For maintenance reasons, these guards are periodically removed. It is imperative that they be properly replaced for the safety of everyone.
 - **High heat.** Lube oils sampling is a frequent task during watch. Personnel must wear safety goggles while drawing lube oil samples. While handling hydraulic oil, gloves, apron, and goggles are required. Uniforms should not be extremely loose as this can pose a safety hazard when working around rotating machinery and petroleum products. Unfortunately, high heat is a byproduct of combustion engines and is also generated through friction of moving parts. Each unit is required to have a heat stress-monitoring program to ensure the safety of the crew.
-

***Working
On/Around
Electrical
Equipment***

Unsafe work practices cause most electrical accidents, so employees must observe safe work practices at all times. Electrical safety basics can prevent injuries to you and your shipmates:

- Never work on electrical equipment alone.
 - Stay a prescribed distance from exposed energized lines. (*Many electrical fatalities are caused by the operation of materials handling equipment, e.g., cranes, near overhead power lines, or operating excavation equipment, e.g., backhoes, near underground power lines.*)
 - Do not use electrical equipment when the user, work surface, or equipment is damp or wet, unless the equipment is specifically listed for this application, and the workers are protected against electrical shock (lockout tagout, insulating gloves, insulating mats, etc.).
 - Ensure all electrical equipment is grounded.
 - Implement a lockout tagout system to deenergize and secure electrical equipment.
 - Properly secure locking-type connectors after connection.
 - Handle only the insulated portion of energized plug and receptacle connections.
-

***Handling
Flammable or
Toxic Materials***

Personal Protective Equipment (PPE) is required when handling flammable or toxic materials. Before using a product, review container warning labels and respective Material Safety Data Sheets (MSDS).

***Handling
Flammable or
Toxic Materials
(continued)***

The MSDS provides information on proper use, potential hazards, protective measures to be taken, and emergency first aid procedures to be followed. The MSDS for a specific material might specify certain types of hand, face, and respiratory protection.

For example, following is a MSDS excerpt for a general purpose cleaner:



- ***Respiratory Protection:*** NIOSH CARTRIDGE RESPIRATOR WHEN VAPORS EXCEED TLV.
- ***Ventilation:*** LOCAL EXHAUST RECM BY MFG.
- ***Protective Gloves:*** RUBBER, NEOPRENE OR LATEX.
- ***Eye Protection:*** CHEMICAL GOGGLES
- ***Other Protective Equipment:*** RUBBER APRON, RUBBER BOOTS.
- ***Work Hygienic Practices:*** OBSERVE GOOD WORK HYGIENIC PRACTICES FP-N.
- ***Supplemental Health & Safety Information:*** PART NO: 16 OZ SIZE.

For your safety and the safety of others, ensure the PPE requirements listed are strictly adhered to.

Working Aloft

Before sending a person to work afloat, a Man Aloft Chit must be completed specifying the safety procedures that must be in place. The Chit is routed to the various division involved and must be acknowledged by the appropriate signature.

A sample Man Aloft Chit for performing a safety inspection of the climbing harness, working lanyards, safety lanyard, and safety climbing device is shown on the next page.

MAN ALOFT CHIT		
1. NAME OF PERSON GOING ALOFT: YOUR NAME HERE		2. NAME OF SAFETY OBSERVER:
3. NAME OF WORK SUPERVISOR:	4. EST. TIME UP: CURRENT TIME	5. EST. TIME ALOFT:
6. PERFORM SAFETY INSPECTION OF THE CLIMBING HARNESS, WORKING LANYARDS, SAFETY LANYARD AND SAFETY CLIMBING DEVICE; IAW MRC 6231.001-12		6A. SIGNATURE OF PERSON PERFORMING INSPECTION: YOUR SIGNATURE HERE
7. DESCRIBE WORK AREA: MAST, PORT AND STARBOARD YARD ARMS		8. DESCRIBE WORK TO BE DONE: PMS OF UHF ANTENNAS
ROUTE THIS MAN ALOFT CHIT TO THE FOLLOWING:		
DIVISION	ACTION TAKEN	SIGNATURE
9. CSC	ALL RADARS, IFF, AND TRANSMITTERS SECURED AND TAGGED OUT.	
10. COMM CENTER	ALL TRANSMITTERS SECURED AND TAGGED OUT.	
11. FIRE CONTROL	MK-92 AND CIWS LIVE TRANSMIT SECURED AND TAGGED OUT.	
12. BRIDGE	RADAR INDICATORS AND BRIDGE TRANSMITTERS SECURED AND TAGGED OUT.	
13. ENGINEERING	MINIMIZE STACK GASSES, MAN ALOFT NOTICE POSTED AND ENGINEERING WATCH NOTIFIED.	
OTHER SHIPS IN COMPANY		
14. SHIP 1	SECURE ALL TRANSMITTERS, SECURE ALL RADARS, MINIMIZE STACK GASSES, AND PIPE "MAN ALOFT" FOR YOUR UNIT AT 30-MINUTE INTERVALS.	
15. SHIP 2	SECURE ALL TRANSMITTERS, SECURE ALL RADARS, MINIMIZE STACK GASSES, AND PIPE "MAN ALOFT" FOR YOUR UNIT AT 30-MINUTE INTERVALS.	
16. SHIP 3	SECURE ALL TRANSMITTERS, SECURE ALL RADARS, MINIMIZE STACK GASSES, AND PIPE "MAN ALOFT" FOR YOUR UNIT AT 30-MINUTE INTERVALS.	
17. OOD/COMMANDING OFFICER	VERIFY ALL SIGNATURES AND EQUIPMENT SECURED.	
18. QUARTERDECK	HOIST KILO FLAG, PIPE "MAN ALOFT" IN 30-MINUTE INTERVALS, RETAIN THIS SHEET UNTIL MAN ALOFT COMPLETED AND NOTIFY WORK SUPERVISOR IF MAN ALOFT EXCEEDS TIME ALOFT BLOCK.	
19. ACTUAL TIME UP:		20. ACTUAL TIME DOWN:

Working Over the Side

Numerous safety precautions are applicable when working over the side or aloft using a Bos'n chair or stage. A few safety measures are given here. Consult your unit's SOP to outline your unit's particular requirements.

Working Over the Side
(continued)

1. Get permission from the OOD.
 2. Wear a PFD when working over the side as mandated by the Coast Guard Rescue and Survival Systems Manual, COMDTINST M10420.10 (series).
 3. Delegate someone as a safety observer.
 4. Rig a manrope or Jacobs ladder at one end of the stage.
 5. Rig a safety runner (second line) to both ends of the stage when working over a dry-dock bed.
 6. Check the position of the staging to ensure it's clear of scuppers or overboard discharges.
 7. Only use pneumatic tools; do NOT use electric tools.
-

Biohazardous Material

Coast Guard resources, e.g., helicopters, small boats, and cutters, are routinely dispatched to transport persons with serious injuries or life-threatening illnesses. Frequently, the interior decks and rescue/medical equipment are contaminated with biohazardous wastes. These wastes may consist of bodily fluids, bandages, needles, scalpels, ampoules, and equipment used to aid in respiration.

Each unit is required to have a written plan for the decontamination of resources and protection of personnel from biohazardous material. The plan should establish procedures for decontaminating aircraft, vessels, and equipment after exposure to biohazardous wastes. Proper completion of these procedures protects personnel from exposure to infectious agents such as Hepatitis B Virus (HBV) and Human Immunodeficiency Virus (HIV).

Universal Precautions

Universal precautions shall be used by all members whenever the potential for exposure to bloodborne pathogens exists. Personnel shall adhere rigorously to infection control precautions to minimize risk of exposure to all blood and other body fluids, all of which shall be considered infectious materials.

Universal precautions is an infection control approach developed by the Center for Disease Control (CDC) that assumes every direct contact with body fluids is potentially infectious. The precautions require that employees who may be exposed to direct contact protect themselves as though such body fluids were HIV or HBV infected.

Potentially infectious blood and body fluids include blood, semen, vaginal secretions, amniotic fluid, cerebrospinal fluid, joint (synovial) fluid, chest (pleural) fluid, abdomen (peritoneal) fluid, and heart (pericardial) fluid.

*Universal
Precautions
(continued)*

These fluids may be released and mixed with blood as the result of an injury or other natural process. Since it is difficult to distinguish between body fluid types, ALL body fluids are considered potentially infectious and Universal Precautions must be taken.

Protective measures to eliminate or minimize employee exposure to infectious materials include:

- Engineering controls
- Work practice controls
- Use of personal protective equipment to minimize the risk of acquiring HIV, HBV, and other bloodborne diseases in the occupational setting.
- Appropriate personnel trained in the application of universal precautions.

*Sample
Documents*

The following sample documents are found on the following pages:

- Sample Air Station Biohazard Decontamination Plan
 - Sample Station Biohazard Decontamination Plan
 - C-130 Decontamination Checklist.
-

SAMPLE STATION (UNIT NAME) BIOHAZARD DECONTAMINATION PLAN

ACTION:

At the conclusion of missions where patient transport was performed, Supervisors and/or Watch Captains shall question the crew on the likelihood that the vessel was contaminated with biohazardous wastes. Contamination shall be considered likely if:

1. Bodily fluids have come in contact with vessel surfaces, rescue or medical equipment, or personnel.
2. Medical personnel used, or attempted to use any syringes, IV needles, or scalpels.

The following procedures shall be completed if the crew or supervisors suspect that vessel contamination was likely:

1. As soon as the contaminated vessel is completely shutdown, it will be immediately isolated. The crew shall brief the appropriate supervisor or watch captain on the type of exposure, possible locations of concentrated quantities of bodily fluids (e.g. on deck, on rescue equipment, on bulkheads or soundproofing), and any use of syringes, IV needles, or scalpels. The watch captain should obtain a confirmation from the corpsman/EMT that the medical kits have been inventoried, and that all used equipment has been accounted for.
2. The contaminated vessel will be isolated and no equipment removed until declared decontaminated by the supervisor or watch captain. Operations shall be informed that the vessel is in a CHARLIE status until the cleanup is complete.
3. All exposed crewmen shall lay to the shower room and perform the following steps (Exposed is defined as actual contact with any of the patient's bodily fluids):
4. Remove all clothing that has been exposed to any of the patient's bodily fluids; place in a plastic bag.
5. Shower immediately.
6. Bring exposed clothing to _____ for sanitizing and cleaning.
7. Have personnel report to Medical for appropriate medical record entry. If direct skin contact was made, testing, and follow-up may be required.

NOTE: If the crew was exposed to an illness that is transmitted by air, all crewmen shall have their clothing sanitized and cleaned by the _____shop.

8. The supervisor or watch captain shall assign up to three petty officers to complete the disinfection of vessel and equipment. The team's senior petty officer shall ensure that the cleanup team is constantly protected from exposure, that no unprotected personnel are allowed near the vessel prior to decontamination, and that all biohazardous wastes are properly removed. The corpsman/EMT should be a team member, if available.
9. The decontamination team will assemble the following items for cleaning vessel surfaces and equipment:
 - a. Mop bucket of hot water and bleach (2cups of bleach per gallon of water) and mop.
 - b. Paper towels.
 - c. Red biohazard bags.
 - d. Cibrex virucidal disinfectant cleaner or equivalent
 - e. Spray bottles.

Note: See Chapter 3-B.4.f.(1) for recommended disinfectant solutions. Choose the one most appropriate for your situation. If you wish to use one not listed, contact MLCP (kse) for approval.

10. The decontamination team leader will ensure that the team is dressed out in the following items:
 - a. Disposable non-permeable coveralls
 - b. Sanitary disposable face mask
 - c. Plastic face shield
 - d. 18 mm latex gloves
11. See enclosure () for the Vessel Decontamination Checklist.

SAMPLE AIR STATION (Name) BIOHAZARD DECONTAMINATION PLAN

ACTION:

At the conclusion of missions where patient transport was performed, Maintenance Control Supervisors and/or Watch Captains shall question the aircrew (particularly rescue swimmers and/or flight corpsmen) on the likelihood that the aircraft was contaminated with biohazardous wastes. Contamination shall be considered likely if:

1. Bodily fluids have come in contact with aircraft surfaces, rescue or medical equipment, or personnel.
2. Medical personnel used, or attempted to use any syringes, IV needles, or scalpels.

The following procedures shall be completed if the aircrew or maintenance supervisors suspect that aircraft contamination was likely:

1. As soon as the contaminated aircraft is completely shutdown, it will be immediately pulled into the appropriate hangar. The aircrew shall brief the appropriate maintenance control supervisor or watch captain on the type of exposure, possible locations of concentrated quantities of bodily fluids (e.g. on cabin deck, on rescue equipment, on bulkheads or soundproofing), and any use of syringes, IV needles, or scalpels. The watch captain should obtain a confirmation from the flight corpsman and/or rescue swimmer that the medical kits have been inventoried, and that all used equipment has been accounted for.
2. The contaminated aircraft shall be isolated and no equipment removed until declared decontaminated by the maintenance control supervisor or watch captain. Operations shall be informed that the aircraft is in a CHARLIE status until the cleanup is complete.
3. All exposed crewmen shall lay to the Ready Crew Berthing (RCB) shower room and perform the following steps (Exposed is defined as actual contact with any of the patient's bodily fluids):
 - a. Remove all clothing that has been exposed to any of the patient's bodily fluids; place in a plastic bag.
 - b. Shower immediately.
 - c. Bring exposed clothing to AST Shop for sanitizing and cleaning.
 - d. Have personnel report to Medical for appropriate medical record entry. If direct skin contact was made, testing, and follow-up may be required.

NOTE: If the aircrew was exposed to an illness that is transmitted by air, all members shall have their clothing sanitized and cleaned by the AST shop.

4. The maintenance control supervisor or watch captain shall assign up to three petty officers to complete the disinfection of aircraft and equipment. The team's senior petty officer shall ensure that the cleanup team is constantly protected from exposure, that no unprotected personnel are allowed near the aircraft prior to decontamination, and that all biohazardous wastes are properly removed. The rescue swimmer and flight corpsman should be team members, if they are available.
5. The decontamination team will assemble the following items for cleaning aircraft surfaces and equipment:
 - a. Mop bucket of hot water and bleach (2 cups of bleach per gallon of water) and mop
 - b. Paper towels
 - c. Red biohazard bags
 - d. Cibrex virucidal disinfectant cleaner or equivalent
 - e. Spray bottles

Note: See Chapter 3-B.4.f.(1) for recommended disinfectant solutions. Choose the one most appropriate for your situation. If you wish to use one not listed, contact MLCP (kse) for approval.

6. The decontamination team leader shall ensure that the team is dressed out in the following items:
 - a. Disposable non-permeable coveralls
 - b. Sanitary disposable face mask
 - c. Plastic face shield
 - d. 18 mm latex gloves
7. For HH-60J or HH-65A aircraft, clean as directed in the Helicopter Decontamination Checklist, enclosure (). For the HC-130H Decontamination Checklist, enclosure ().

WARNING

PERSONNEL REMOVING EQUIPMENT (BASKETS, RAFTS, SEATS, ETC.) SHALL EXERCISE EXTREME CARE WHEN EXTENDING ARMS OR LEGS IN AREAS NOT IN PLAIN SIGHT. USED NEEDLES, SYRINGES, AND SCALPELS MAY BE PRESENT, AND CAN CAUSE INJURY AND/OR SERIOUS INFECTION.

8. Once the checklist is complete, the aircraft may be post-flighted, as appropriate. The decontamination team shall complete the following:

- a. Place all paper towels, gloves, disposable face masks and disposable coveralls used to clean the aircraft in the red biohazard bags and seal with rubber bands or ties.
- b. Thoroughly clean all non-disposable items such as mops and face shields with hot water and bleach solution.
- c. Transport all items in red biohazard bags to Medical for disposal.
- d. Decontamination team leader shall sign of the CG-4377 Flight Safety Maintenance Document

C-130 DECONTAMINATION CHECKLIST

1. Determine if aircraft is contaminated (interview flight corpsman and/or rescue swimmer; if they are not available seek out the aircraft commander).

1. Determine if aircraft is contaminated (interview flight corpsman and/or rescue swimmer; if they are not available seek out the aircraft commander).

Yes No

A. Did any bodily fluids contact the aircraft or its rescue equipment? ____ ____

B. Did a corpsman, doctor, or rescue swimmer use IV needles, syringes, or scalpels in the aircraft? ____ ____

C. Known areas of contamination: _____

(If there is contamination, continue with the checklist; if none, stop here and complete a normal thru-flight/post-flight inspection as necessary.)

Initials

2. Pull aircraft into hangar and isolate from maintenance personnel. _____

3. Confirm from flight corpsman/rescue swimmer that all used medical equipment is accounted for. _____

4. Inform Operations that aircraft is in CHARLIE status for decontamination _____

5. Inspect flight crew for contaminated clothing; send any crewmen who have been exposed to the Ready Crew Berthing; once they are finished, have them bring clothes to AST Shop and report to Medical. _____

6. Assign personnel to decontamination team.

A. _____

B. _____

C. _____

Initials

7. Assemble decontamination equipment:
(Use of pre-assembled kit is advised)

- A. Mop & bucket of hot water and bleach (2 cups/gal).
- B. Paper towels.
- C. Red biohazard bags.
- D. Cibrex virucidal disinfectant cleaner.
- E. Spray bottles.

8. Ensure team members are properly dressed out in the following:
(Use of pre-assembled kit is advised)

- A. Disposable non-permeable coveralls.
- B. Sanitary disposable face mask.
- C. Plastic face shield.
- D. 18 mm latex gloves.

WARNING: EXERCISE EXTREME CARE WHEN EXTENDING ARMS OR LEGS INTO AREAS NOT CLEARLY VISIBLE. USED NEEDLES, SYRINGES, AND SCALPES MAY BE PRESENT; ACCIDENTAL CUTS CAN CAUSE INJURY AND/OR SERIOUS INFECTION.

9. Remove medical pallet (if used), any exposed rails, seats, and/or personal gear that was in the vicinity of the medical pallet or seat where patient rested. area near aircraft.

10. Inspect appropriate section of cargo compartment for exposure potentials and the presence of any used medical equipment.

11. Spray medical pallet and other applicable rescue equipment with virucidal cleaner and let it sit for 15 minutes before washing.

12. Liberally spray appropriate sections of the cargo compartment with virucidal cleaner. Mop deck with water and bleach solution; let the aircraft sit for 15 minutes.

13. If cloth seats were exposed, remove seat cushions for immersion washing by AST Shop personnel.

Initials

14. While the cabin disinfectants are allowed to sit, complete the following; _____

A. Screen all removed items for exposure. Place all exposed trash in red biohazard bags, seal with a rubber band or tie.

B. Wash rescue equipment and leave to dry.

15. Reenter aircraft and wipe down all surfaces with virucidal cleaner and paper towels. _____

16. Notify Operations that the decontamination is complete and finish the aircraft post-flight as needed. _____

CAUTION: Anyone handling used and/or full biohazard bags shall wear latex gloves.

17. Place all paper towels, gloves, disposable face masks and coveralls in the red biohazard bags; seal and take all bags to Medical for disposal. _____

18. Thoroughly clean all non-disposable items such as mops and face shields with hot water and bleach. _____

19. Sign off a CG-4377 Part III entry noting compliance with this CAMI. _____



Answer the following True or False questions. Correct answers for the exercise are provided at the end of this E-level section.

- ☐ True 1. Any machine part, function, or process that could cause injury must have
☐ False safeguards in place.
- ☐ True 2. A Closed Compartment Opening Request Form is required to open confined
☐ False spaces.
- ☐ True 3. Examples of permit-required confined spaces on cutters and other vessels
☐ False include wing tanks, fuel cells, APO spaces, and center tanks.
- ☐ True 4. Flywheels, shafts, generators, and clutches are all common moving parts found
☐ False in a machinery space.
- ☐ True 5. A lockout/tagout system is NOT necessary when deenergizing and securing
☐ False electrical equipment.
- ☐ True 6. In certain instances, it is permissible for a person to work on electrical
☐ False equipment alone.
- ☐ True 7. Personal protective equipment is required when handling flammable or toxic
☐ False materials.
- ☐ True 8. Universal Precautions is an infection control approach developed by the Coast
☐ False Guard that recognizes direct contact with body fluids is infectious.
- ☐ True 9. Completing a Man Aloft Chit before sending a person to work afloat is optional.
☐ False
- ☐ True 10. When using a stage for a person working over the side, rigging a manrope to
☐ False one end is optional.
- ☐ True 11. Each unit is required to have a written plan for the decontamination of bio-
☐ False hazardous material.

Chapter 16

Protection Conditions

16-4.01-K

KNOW the following terrorist force protection conditions, as presented in the E-PME Study Guide:

- FPCON Normal
- FPCON Alpha
- FPCON Bravo
- FPCON Charlie
- FPCON Delta.

Definitions of Terrorist Force Protection Conditions

Terrorist Force Protection Conditions – or FPCONs – are a set of measures that are taken in military installations in the presence of different levels of terrorist activities.

While there is no direct correlation between threat information, (e.g., Intelligence Summaries, Warning Reports, and Spot Reports), and FPCONs, these assessments provide information to assist commanders in determining the appropriate FPCON to declare. The five levels are:

- FPCON Normal
- FPCON Alpha.
- FPCON Bravo
- FPCON Charlie.
- FPCON Delta.

Only Coast Guard leaders within their area of responsibility set FPCONs. For instance, an area commander can set an area-wide FPCON for his area, but not others. The Commandant can set the FPCON for the entire Coast Guard.

FPCON Normal

This condition applies when a general threat of possible terrorist activity exists but warrants only routine security posture.

FPCON Alpha

This condition applies when there is a general threat of possible terrorist activity directed against units and personnel, the nature and extent of which are unpredictable. The circumstances do not justify full implementation of the measures of FPCON BRAVO.

However, it may be necessary to implement certain selected measures from FPCON BRAVO as a result of intelligence received or as a deterrent. The measures in this FPCON must be capable of being maintained indefinitely.

FPCON Bravo

This condition applies when an increased and more predictable threat of terrorist activity exists. The measures in this FPCON must be capable of being maintained for weeks without:

- Causing undue hardship
- Affecting operational capability
- Aggravating relations with local authorities.

All previous measures remain in effect.

FPCON Charlie

This condition applies when an incident occurs or when intelligence is received indicating that some form of terrorist action against units and personnel is imminent.

Implementation of this measure for more than a short period will probably create hardship and will affect the peacetime activities of the unit and its personnel.

All previous measures remain in effect.

FPCON Delta

This condition applies in the immediate area where a terrorist attack has occurred or when intelligence has been received that terrorist action against a specific location is likely.

Normally, this FPCON is declared as a localized warning.

***Additional
Untestable
Information***

Additional **untestable information** is in the Physical Security and Force Protection Program, Chapter 5, Section G found on the Coast Guard Intranet site COMDTINST M5530.1C, Standards of Ethical Conduct at:

http://cgweb.uscg.mil/g-c/g-ccs/g-cit/gcim/directives/CIM/CIM_5530_1C.pdf

If you don't have access to the Coast Guard Intranet, locate your unit's paper-based version, check out the reference, and read the content on Terrorist Force Protection Conditions.



Match the terrorist threat level with its definition. Correct answers for the exercise are provided at the end of this E-level section.

Definition	Terrorist Threat Level
_____ 1. This condition applies when there is a general threat of possible terrorist activity directed against units and personnel, the nature and extent of which are unpredictable.	a. FPCON Normal
_____ 2. This condition applies in the immediate area where a terrorist attack has occurred or when intelligence has been received that terrorist action against a specific location is likely.	b. FPCON Alpha
_____ 3. This condition applies when an incident occurs or when intelligence is received indicating that some form of terrorist action against units and personnel is imminent.	c. FPCON Bravo
_____ 4. This condition applies when a general threat of possible terrorist activity exists but warrants only routine security posture.	d. FPCON Charlie
_____ 5. This condition applies when an increased and more predictable threat of terrorist activity exists.	e. FPCON Delta

Chapter 17

Training Preparation

17-4.01-K

KNOW the guidelines for preparing a training session, as presented in the E-PME Study Guide.

Training Guidelines

Part of your responsibilities as a petty officer is to prepare and conduct training sessions.

For training to be successful, all attendees should be able to meet the objectives. To achieve a proficient level of performance, present only needed information — no more, no less.

Primary guidelines for successful training are presented here.

- First, you need to determine the content for your training session. The following table provides guidelines *identify the training content*.

<i>Identify</i>	<i>Identification Procedure</i>
Objective of the training	Develop objectives to determine the knowledge/skills participants will acquire at the end of your training.
Importance (value) of the training	Determine the value of the training to students.
Major training segments	Divide your session into logical, job-related segments to make your presentation more effective.
Specific information within the segments	Determine the required actions and decisions to accomplish each major segment of the training.

- After your content has been identified, you need to establish a lesson plan. Procedures to *conduct the training session* are presented in the following table.

Conduct	Procedure
Present overview	The overview informs and motivates the student. It includes: <ul style="list-style-type: none"> ▶ <input type="checkbox"/> Presenting job-related value and benefits ▶ <input type="checkbox"/> Identifying training objectives or goals ▶ <input type="checkbox"/> Specifying what will occur in the training ▶ <input type="checkbox"/> Reviewing training materials ▶ <input type="checkbox"/> Providing information about the training facility.
Present information and guidance	Present details about the topic and provide a tangible way for the student to relate the knowledge to performance. For example, as steps in a process are explained, provide a demonstration or illustration.
Practice and provide feedback	Allow for practice time of skills being taught. Provide immediate feedback, when performed either correctly or incorrectly.
Assess performance	Determine if the student has attained the desired level of knowledge/skills. Use a checklist or other evaluation tool.

**Determine
Training Content**
*Identify the
Training Objective*

When presenting a training session, the first step is to determine the training objective. The training objective describes the knowledge and/or skill(s) students should have upon completion of training. Write the objective in a statement identifying:

- What the student will learn
- Under what conditions (if a performance objective)
- To what standard.

This clear goal provides the instructor a definite direction. It also establishes a boundary to ensure only relevant, useful information is presented during the training session

Practice your skill now by writing a training objective for tying knots.

Compare your training objective for tying knots with the sample objective on the next page.

Identify the Importance of Training

Defining the importance of training answers the question “Why is this training of value?” This performance may be valued by Team Coast Guard, a unit, a member, or any combination.

Be sure to write down the value of the training. Documenting the importance of the training serves two purposes. It:

- Establishes importance to the training developer
- Motivates students during the training.

Identify Major Segments

During a training session, participants learn best if the information is provided in segments that eventually come together as a whole (the training outcome). Learning is difficult when a large, unorganized, illogical mass of information is presented.

The best way to divide information into sections is to list the significant steps of a training objective.

- State the outcome of the task first. This clarifies expectations.
- Identify the actual sequence of steps a person or group needs to perform to successfully complete the objective. Identifying this sequence of steps determines the segments (or main points) of the training session.

NOTE: Stay mentally tuned to actual performance. Focus just on what participants actually need to know to perform the task.

Identify Specific Information

Identifying specific information requires taking one main objective at a time, listing the physical actions (skills) and decisions (knowledge) required. For example, putting out a small fire:

- **Skills** - Requires the skills to operate a CO² fire extinguisher...a required physical action or skill.
- **Knowledge** - Requires a determination be made as to whether a CO² extinguisher is appropriate to use...a required decision based on knowledge.

Every action and decision in the process should be considered, including prerequisites. Pre-existing qualifications are called prerequisites. Sometimes, in order to complete an objective, previously learned skills are required. Be sure to consider all the requirements necessary to “get the job done.”

Sample Objective for Typing Knots

Given a six-foot length of rope, the student will be able to tie a bowline knot, in 60 seconds, with 100% accuracy.

Checklist

A checklist is often helpful when preparing to develop training content, i.e., Does my objective statement identify:

- Required actions?
- Conditions?
- Standards/desired outcomes?

Complete the checklist BEFORE any training materials are developed. A sample checklist is provided on the following page.

Prepare to Conduct a Training Session

For adults to learn, certain activities should take place during a training session. Preparing for a training session involves designing these activities and developing any required supporting material. Conducting the training involves presenting the activities to the participants.

Primary steps in conducting a training session are listed below. Follow each step in numerical order.

- | | |
|---------------------------|-----------------------|
| 1. Present Training Value | 5. Present Guidance |
| 2. Present Objective | 6. Provide Practice |
| 3. Present Main Points | 7. Provide Feedback |
| 4. Present Information | 8. Assess Performance |

Sample Training Development Checklist

Checklist	
Task	Done
I have written an objective statement(s) that identifies exactly what students will be able to perform, under what conditions, and to what standards, after my training session is completed.	
I have written a statement(s) that defines the value of this training as realized by: <ul style="list-style-type: none"> • The Coast Guard • The Unit/Command • The participants of the session. 	
I have organized the outcome by listing major events that, when performed, provide for the accomplishment of the task.	
I have further broken down each event by listing what specific skills and knowledges are required to perform the event.	

Present Training Value

People are more likely to learn when they can see value in the training. Your first concern is how to demonstrate to participants that:

- The instruction they are about to receive is important
- They need to learn the skills addressed.

Using your previously written value statement makes it relatively easy to draft additional value statements for the training session.

Technique

Use interesting or provocative questions, stories, case studies, etc. to hold the audience's attention. However, refrain from using revolting, shock treatments for attention-getters.

An example of a revolting technique is to start a defensive driving course with blood-and-guts pictures of people in crashes not wearing seat belts. Revolting images normally turn off interest in the upcoming instruction. Instead, present an attention-grabbing, realistic scenario.

Choose a technique to demonstrate the job-related value of the session to the students. Two techniques commonly used are:

- **Ask a value-based question.** An example of a beneficial way to hold people's attention in a First-Aid CPR class is to ask:

“If you found a child floating face down in a pool and not breathing, could you perform proper emergency medical procedures?”

- **Tell a relatively short story or case study.** An example of a relatively short story or case study in the First Aid CPR class is given here.

Last month, a man in Los Angeles looked out a window of his home to see a toddler floating face down in his pool. Rushing to the child, the man found the boy unconscious and not breathing. The man performed emergency medical procedures before paramedics arrived, which was largely responsible for the boy's survival.

Present Objective An experienced instructor informs participants of the specific goals or purpose of the training before entering the actual learning stages of the session. This is accomplished by presenting the objective of the training. The objective should state the following:

- The task the student will perform as a result of instruction
- Conditions under which the task will be performed
- Standards required for successful performance.

An example of a good objective is:

At the end of today's training, you will identify the location of all fire extinguishers aboard this cutter in 5 minutes, with 100% accuracy.

Present Main Points

After explaining the objective, the next activity the instructor performs is to provide an overview of the session.

This overview presents the session's main points and informs the students of what is "coming up." By presenting the main points, the instructor gives the participants a road map of the session. They know:

- Where they are
- Where they are going
- How they are going to get there.

Main points are based on the *major events* of the performance identified when determining the training session content.

An example of main points for a helo landing party training is provided below.

During this morning's training, we will address:

- *Landing party responsibilities*
 - *What equipment is used and how to prepare it*
 - *How to use this equipment in an actual crash situation*
 - *How to secure a landing party.*
-

Present Information

The previous activities provide an opening to a training session. Presenting the information starts the actual learning phases of the training. The information discussed here relates to the physical skills and mental decisions identified when session content was determined.

During unit training sessions, one of two methods (or a combination) is normally used to present this information.

- The instructor verbally presents the information.
- Participants obtain the information from some form of text (handouts, tech manuals, COMDTINSTs, etc.) or from an electronic medium, such as videotape, CD-ROMs, DVDs, etc.

Present Guidance

Having informed a group of attendees how to perform a task, an instructor provides some guidance. Guidance is a tangible method of relating information to actual performance.

Guidance should be something tangible for participants to see how the information just received applies to the performance. For example, after informing the class how to fire a handgun, the instructor fires a gun so that the participants can actually see the process.

Methods used for this guidance may include the following:

- Demonstration
- Example
- Illustration.

The instructor must decide when the participants have had enough. When providing visual guidance during training, consider the following:

- Previous knowledge and skill levels of the participants
- Complexity of the training topic.

Provide Practice

People learn by doing. After teaching a skill, the instructor should have the trainees personally perform the procedures or apply the rule learned. This mentally "locks" that information in place.

After the instructor demonstrates how to fire a handgun, he or she should have the trainees perform the task. Actual performance of a task allows attendees to test new skills and apply any new knowledge learned during the information activity.

Provide Feedback Feedback consists of informing trainees whether or not they successfully performed a new skill. It is extremely important that you provide positive feedback about a performance. Informing a trainee that he or she performed a task correctly builds confidence. It also reinforces the knowledge.

Equally important is to inform the trainee of an unsuccessful performance. This prevents the individual from retaining invalid information.

In training situations, feedback works two ways.

- Students find how well they did during the practice.
- The instructors find out whether students can or cannot apply the information to actual performance. If the student cannot apply the information, then the instructors must redesign/restate the training objective.

The key point is...

If a student cannot apply the training to actual performance, the tactic initially used to present information and provide guidance did not work. Another tactic is called for.

Do NOT use that tactic again!

For example: If a student was asked to read procedures in a tech manual and failed to properly apply those procedures in a practice situation, it is not helpful to have the student reread the manual. An instructor should have a back up to use in such situations, such as verbally explaining or demonstrating the procedures.

*Assess
Performance*

Each training session should provide the participants with the skills and/or knowledge to perform either tasks required to meet the missions of Team Coast Guard or needs of the unit, or to benefit members.

At the end of the training session, the instructor must determine if the participants satisfactorily meet the training objectives. Three strategies can be used to make this assessment:

- Procedure strategy
- Product strategy
- Combination.

Procedure
Strategy

A procedure strategy is one in which each step of the trained procedure is graded.

Procedure
Strategy
(continued)

This procedure is useful, and recommended, for the instructor to evaluate if participants can:

- Correctly use tools and equipment
- Complete the task within a specified time frame
- Apply and adhere to health and safety rules connected to task performance.

To effectively use this strategy, the instructor should construct a checklist that contains each step in the procedure. This checklist can be used to evaluate performance as an individual or group attempts the procedure.

Product Strategy

A product strategy for evaluating performance is applicable if the instructor is primarily concerned about the end result or outcome of the performance. This strategy is appropriate when:

- The result of the performance is more critical than the procedure used
- Several possible, but equally acceptable, procedures may be used
- The procedure is difficult to observe.

To effectively use this strategy, the instructor should construct a checklist that establishes specific criteria for the outcome.

Combination

The combination evaluation strategy uses elements of the procedure and process strategies to determine if the participants can:

- Perform the necessary steps to complete a procedure
- Meet a specific level of quality for the end product.

This approach is recommended when the:

- Task contains steps that require certain health and safety precautions be met
- End product must meet certain operational or utility standards.

The instructor normally constructs a checklist for evaluating applicable steps in the procedure and establishes criteria the end product must meet.

*Example of
Presenting
Training*

The following are skills to be presented in a training session on *How to Attack a Helo Fire*:

- Keep the wind behind you
- Move downslope toward the fire
- Go toward areas with the smallest fuel spill
- Drive the fire away from the cockpit and cabin area.

*Example of
Presenting Training*
(continued)

The following are the steps an instructor should take to prepare and present this training program.

1. **Provide *Training Value* example.** In certain types of helo crashes, it's not the impact that claims lives but the subsequent fire. Fighting a fire in the most efficient manner can save the lives of your shipmates.
 2. **Present *Objective* example.** At the completion of this training, given a fire hose, you will be able to simulate fighting a crashed helo on fire, with 100% accuracy.
 3. **Present *Main Points* example.** In this course, you will learn how to approach a helo fire and direct the stream of a firefighting agent.
 4. **Provide *Information* Example.** When attacking an actual helo fire:
 - □ Approach with the wind to your back
 - □ Move downslope toward the fire
 - □ Move toward the smallest fuel spill area
 - □ Fight the fire away from the helo's cockpit and cabin areas.
 5. **Provide *Guidance* example.**
 - □ Position a station pickup truck parked on a helo pad to simulate a helo.
 - □ Place a 55-gallon drum full of water on the tailgate with the petcock open to simulate a fuel spill.
 - □ Walk participants through the attack procedures.
 6. **Provide *Information* example. When using CO2 or water to attack a helo fire:**
 - □ Direct parallel streams of a firefighting agent along either side of the helo to protect personnel inside from radiant heat.
 - □ Control fire by sweeping burning spills free from fuselage.
 7. **Provide *Guidance* Example.** Demonstrate motion used to sweep
 8. **Permit *Practice* example.** Have participants team up as landing party members. Place someone in the truck pretending to be unconscious. Have the team approach the truck as if it were a crashed helo on fire.
 9. **Provide *Feedback* example.** Point out the procedures that were performed correctly by both the team and individuals.
 - □ If the whole team performs the procedures poorly, use a backup tactic. Review the training videotape "Aircraft Fires" borrowed from District.
 - □ If an individual performed the procedures poorly, provide one-on-one instruction at the end of the session.
-



Answer the following questions. Correct answers for the exercise are provided at the end of this E-level section.

1. Prior to presenting the training objective, the instructor should provide _____.
 - a. An overview of the main points
 - b. Assessment/testing methods
 - c. Performance feedback
 - d. Why the training is important
2. A testing strategy that includes verifying that health and safety guidelines are met and the desired outcome is achieved is a _____ strategy.
 - a. Procedure
 - b. Outcome
 - c. Combination
 - d. Product

Workstation Functions

17-4.01-P

PERFORM the following functions using a CG standard workstation, as presented in the E-PME Study Guide:

- Create, edit, and print a document using word processing software
- Draft and send E-mail messages, with attachments.

Workstation Functions






As part of your duties, you may be tasked with writing reports, letters, memorandums, or other types of written communications, such as E-mail messages. Normally, these communications are written on a standard Coast Guard workstation, using Microsoft Word®.

Two options for completing these documents are:

- Construct documents from "scratch"
- Use USCG Templates.

Construct Documents From "Scratch"

Regardless of the type of document you'll be creating, the general procedures for the document are the same:

Steps	Screen
1. Select the "New" icon (or "New" from the "File" menu).	
2. Type the body of the document.	
3. Spellcheck the document by selecting "Spelling and Grammar" from the Tools menu.	
4. Print the document by selecting the "Print" icon (or "Print" from the "File" menu).	
5. Save the document by selecting the "Save" icon (or "Save" from the "File" menu).	
6. Close the document by selecting "Close" from the "File" menu.	

***Constructing
Documents From
"Scratch"
(continued)***

Microsoft Word® has context-sensitive help that can provide specific instruction. Be sure to use it when learning the Word program.

**Use USCG
Templates**

You may have the need to create official business correspondence for distribution within and outside the Coast Guard. Generally, you will use a set of templates imbedded in Microsoft Word called USCG Macros II. You can use this set of macros on any Coast Guard workstation.

These macros are designed to simplify the process for creating a document for official Coast Guard correspondence. These documents are created more quickly than creating them from scratch, plus all documents of a particular type will contain standard formatting.

USCG Macros II

To access USCG Macros II, complete the following steps on a Coast Guard standard workstation:

1. Select the Start menu
2. Select Programs
3. Select Microsoft Word
4. Select the File menu
5. Select New
6. Select the tab labeled USCG Macros II.

These steps will result in the USCG Macros II being “loaded” into Word.

The first time a user launches USCG Macros II, he or she will be required to complete a User Information screen. Information entered on this screen is used to automatically fill in header information for the generated correspondence.

Data such as the unit's:

- Address
- Fax
- Telephone number.

are extracted from the User Information screen and printed on the correspondence.

USCG Macros II
(continued)

Once the USCG Macros II template is loaded, all of the forms used to complete the correspondence share a similar user interface. Depending on the form selected, some information is entered automatically into the correspondence.

Many of the cursor movements are the same from one correspondence type to another. These are:

- Use the TAB key to move to the next field
- Use the SHIFT+TAB key combination to move to the prior field
- Use the ENTER key to select a highlighted button (default is normally the OK button).

Be sure not to use the ENTER key if other fields must be completed.

**Memorandums**

The Standard Memorandum window provides you with preformatted fields for all standard entries. Once you complete these fields, you can then begin to write the text of your memo.

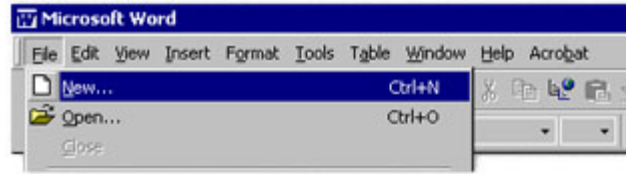
A screenshot of a software window titled "Standard Memorandum". The window contains several input fields: "SSIC" and "Date" (both with dropdown arrows), "Reply to Attn. of" (with sub-fields for "Symbol" and "Phone"), "Name", "From" (containing the text "USCG"), "To" (a large empty text area), and "Subject". At the bottom, there is a text prompt "Press the Tab key to move from field to field." and four buttons: "Cancel", "Back", "Next", and "Finish".

Field	Description
Standard Subject Identification Code (SSIC)	The SSIC is known as the file number and should be on each page of all correspondence (memos and letters) that you create. The SSIC represents the common Coast Guard subjects. For the SSIC Manual, go to: http://www.uscg.mil/hq/g-s/g-si/g-sii/ssic/ssic.htm
Date	You should date all copies of a memo on the day that it is signed. The preferred way to date correspondence is 3 Sep 03.
Routing Symbol	The office of the person who originated the memo.
Phone	Use the phone number of the person who is writing the memo.
Name	Enter the name of the person who is writing the memo.
From	Enter the signer's name, commanding officer's abbreviated title, and staff symbol. This is the signature line and is either all caps or upper/lower case.
To	Address all memos to the office or commanding officer of a unit.
Subject	The Subject is a sentence fragment that tells a reader what the memo is about, usually in 10 words or less and in all caps

NOTE: You can find information on the fields in the Correspondence Manual, COMDTINST M5216.4C at the following website:

http://www.uscg.mil/ccs/cit/cim/directives/CIM/CIM_5216_4C.pdf

Memorandums (continued)



After completing the user information screen, there are ten steps in USCG Macros II to help you create a memorandum.

- **Step 1:** Select File, then New.
- **Step 2:** Select Memo-Standard, then OK
- **Step 3:** Enter the correct SSIC code. If you need help on selecting the SSIC code, use the Help function in Word
- **Step 4:** Tab to Date field, and either manually type the date or use the calendar to make a date selection. If you need help on using the calendar, use the Help function in Word
- **Step 5:** If the name that appears in the From field is correct and sufficient, tab to the To field. More From data can be entered or the existing data can be changed, if needed, prior to tabbing.
- **Step 6:** Supply the necessary names in the To field. This field is limited to six lines of text. After the names are entered, tab to the Thru field.
- **Step 7:** Enter the desired information in the Thru field. The first item entered in the Thru field is assigned the number 1. Each time the Enter key is pressed, a new number is assigned, but only numbers with text entered after it will print. When all Thru information is entered, tab to the Subject field.
- **Step 8:** Enter the Subject text. This field is limited to one line of text, which will automatically convert to uppercase when leaving the field. Tab to the Ref field when the Subject text is complete.
- **Step 9:** Supply the appropriate information in the Ref field. The first item entered will be automatically assigned letter a. Each time the Enter key is selected, a new letter is assigned, but only letters with text entered after it will print.
- **Step 10:** Tab into the Enclosures, Dist, and Copy fields and enter the appropriate data.

Once the memo is complete, save and/or print the memo using typical Word procedures.

Letters

The primary type of letter used in the Coast Guard is the business letter. Like the memo, the business letter has an associated macro that contains preformatted fields to guide you in formatting your letter. Use this macro just as you did when creating a memorandum.

Additional (untestable) information is found in Chapter 3 of the Correspondence Manual, COMDTINST M5216.4C at the following website:

http://www.uscg.mil/ccs/cit/cim/directives/CIM/CIM_5216_4C.pdf

Business

There are two main reasons for writing a business letter in the Coast Guard. Write a business letter to:

1. Correspond with a non-federal agency or individual.
2. Offer a more personal approach to someone in the Coast Guard, Department of Homeland Security, or Department of Defense.

For additional (untestable) information, Refer to Chapter 3, Section A, in the Correspondence Manual, [COMDTINST M5216.4C](#), for detailed information to complete the sections of the business letters.

Create a Business Letter

You can also use USCG Macros II to create business letters. You'll use these letters to correspond with non-federal agencies or individuals. There are two business letter formats available in USCG Macros II:

- Standard business letter
- Business letter for window envelopes.

Both letters are similar except that when the business letter for windows envelopes is folded properly, it can be inserted into a window envelope with the address showing, saving the time needed to address the envelope.






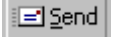
Here's how to use USCG Macros II to create a standard business letter once the User Information screen is completed and Microsoft Word has been opened.

- **Step 1:** Select File then New.
- **Step 2:** Select Business Letter, then OK.
- **Step 3:** Enter the correct SSIC code. If you need help on selecting the SSIC code, use the Help function in Word.
- **Step 4:** Tab through the Serial No, Date, To, and Salutation/Subject fields, entering the necessary information in each.
- **Step 5:** Enter a name in the Signature block, then TAB to specify a Grade or Title. Note that the name in the Signature block will convert to upper case.
- **Step 6:** Turn on the check boxes by selecting the appropriate boxes to include the text "U.S. Coast Guard" or "By direction" at the end of the letter.
- **Step 7:** In the Enclosure field, enter the number of enclosures. If there are no enclosures, leave the field blank.
- **Step 8:** If a person other than the person the letter is addressed to is to receive an information copy, enter that addressee in the Copy block.

Once the letter is complete, spellcheck it, save and/or print the memo using typical Microsoft Word® procedures.

Writing E-mail

Much of the communications you'll be doing will be using Microsoft Outlook, the E-mail software on the Coast Guard standard workstation. One task that you'll perform regularly is drafting and sending E-mail messages, with attachments.

Steps	Screen
1. Select either "Create Mail" ("New" or "Mail Message") from the "File" menu.	
2. When the Create Mail window opens, enter the E-mail address(es) of the person (or people) to whom the message is to be sent in the "To" block (You can also select the address book on the "To" button, then select the address from the address book.)	
3. Enter the E-mail address(es) of the person (or people) to whom a courtesy copy of the message is to be sent. (You can also select the address book on the "To" button, then select the address from the address book.)	
4. Enter the subject of the E-mail	
5. Type the message.	
6. To add an attachment, click the "Attach" (paper clip) icon.	
7. Locate the file to be sent and select it; then select the Attach button	
8. Select the Send button (or "Send" from the "File" menu).	



Circle the appropriate answer for the following question. Correct answers for the exercise are provided at the end of this E-level section.

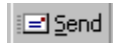
1. This information must be included on all correspondence in the Coast Guard because it serves as the file number.
 - a. Date
 - b. SSIC
 - c. Subject
 - d. Routing Symbol

Write an “O” in front of the icons and buttons used in Outlook/E-mail and write a “W” in front of the icons and buttons used in Word.

2. _____



3. _____



4. _____



5. _____



6. _____



Releasing Information

17-4.02-P

STATE the Coast Guard policy and your unit policy governing the release of official information to the public.

Release of Information to the Public

In today's security-conscious environment, we must be careful what information is released to the public. Release of official information includes:

- Spoken statements
- Paper and electronic documents
- Logs and case files
- Message traffic
- Photographs
- Videotape
- Audio recordings.

The Coast Guard has policies established at both the Unit and Organizational level for the kind of information that can be released, and through what channels.

***Unit Policy for
Release of
Information to the
Public***

Each Coast Guard unit commander determines who can release and what kind of information can be released to the general public and news media. This decision is made in accordance with the policies and guidelines in the (untestable) Coast Guard Public Affairs Manual, COMDTINST M5728.2C.

The Coast Guard's overall Public Affairs policies authorize units to permit any or all personnel to speak to the public and news media.

It is important for you to know your unit's policies and to review the Coast Guard's organizational policies in Chapters 1 and 2 of the Public Affairs Manual. **This untestable link is located at:**

http://www.uscg.mil/ccs/cit/cim/directives/CIM/CIM_5728_2C.pdf

Every time you transfer to a new unit, either PCS or TDY, ask about the unit public affairs information release policies. Your supervisor or unit Public Affairs Officer (PAO) can tell you:

- What your unit's specific policies are
- If you are authorized to release information
- What kind of information you can release
- What types of questions you can answer
- Whether requests for information must be referred to the PAO or someone else in the command.

***Unit Policy for
Release of
Information to the
Public
(continued)***

Unit policies differ based on variables such as:

- Size of the unit
- Level of personnel training
- Unit mission
- Types of public or news media inquiries.

The following is an example of a unit media release policy that shows how to handle different types of reporters' inquiries.

You are a watch stander in an operations center. As part of your duties, you might be authorized to provide information to different types of news media according to unit release policies. For example, your unit policy may authorize and require you to:

- *Brief local news media about search and rescue cases.*
- *Brief "national media" -- such as TV network news, news wire services, or major newspapers outside your area, such as the New York Times or San Francisco Chronicle about search and rescue cases AND immediately notify the Public Affairs Officer that national media are now interested in the story.*
- *Refer any questions from local or national media about Homeland Security and law enforcement operations or other policy issues to the unit Public Affairs Officer.*

***Organizational:
Coast Guard Policy
for Release of
Information to the
Public***

In the Coast Guard, we want to share our story with the public as quickly as possible. All Coast Guard personnel can help tell that story.

Coast Guard personnel must follow their unit's policy for the release of information to the public. When they are authorized to release information, they must stay within their area of expertise and knowledge.

The Coast Guard Public Affairs Manual contains a wide range of information about how, when, and why people in the Coast Guard should release information to the general public and news media.

Two important parts of the Coast Guard's public affairs information release policy that affect personnel are:

- "Maximum disclosure with minimum delay," [PA Manual, Ch1.B.1.]
- "If you do it, or are responsible for something, you can talk about it." [PA Manual Ch 2.D.3.]

Release of Information Limitations

Many factors need to be considered that could limit what and how much a member can respond to requests for information. These factors include:

- Unit information release policies
- Operational security
- Investigations
- Law enforcement plans or operations
- Homeland security and national defense operations
- Privacy laws
- Emergency circumstances.

Use the “SAPP” rule (Security, Accuracy, Policy, Propriety) to decide if the information can be released

Security. Is the information classified or will it impact operational security?

Accuracy. Is the information complete and correct?

Policy. Would release violate Coast Guard or unit policy?

Propriety. Is it appropriate for the Coast Guard to release the information?

Clarification of a few SAPP applications are presented here.

- For “Security,” the rule is quite simple. If you know the information is classified, it cannot be released.
- For “Accuracy,” the information is either correct, or it isn't.
- For “Policy,” familiarize yourself with the policy that affects release of information. If unsure if the information can be released, check policy.
- “Propriety,” however, could require you to make a judgment call. What is considered “appropriate” changes from situation to situation.

For example, a graphic description of the physical condition of a body recovered from a violent accident may be factual, unclassified, and part of the case file. However, if you are asked questions about specific physical conditions of the body in a media interview, consider that your answer could be insensitive to the family of the victim and that such details do not serve any immediate public need. Your response in this example can be that it is more appropriate for this information to come from civil authorities, such as a coroner.

If you are unsure if the information is releasable, contact your supervisor or unit Public Affairs Officer.

Freedom of Information Act (FOIA)

Coast Guard personnel may be faced with a request for information based on the Freedom of Information Act (FOIA). FOIA is a federal law that ensures the public has access to government records, and spells out steps and procedures for providing information.

A FOIA request often is connected to legal or policy issues, but may also be used by researchers, students, or the general public. Unless handling FOIA requests is part of official duties, Coast Guard members should refer any such requests to their supervisor or unit legal officer. If a news media representative mentions or requests information under FOIA, the unit PAO should also be notified.

The Coast Guard Freedom of Information and Privacy Act Manual COMDTINST M5260.3 (series) gives guidance for responding to requests for records under FOIA. **Additional untestable information can be found in this manual located on the following website:**

http://www.uscg.mil/ccs/cit/cim/directives/CIM/CIM_5260_3.pdf



Select two important parts of the Coast Guard's public affairs information release policy that affect personnel. Correct answers for the exercise are provided at the end of this E-level section.

- _____ 1. Apply the SAPP rule.
- _____ 2. Security must come first.
- _____ 3. If you do it, or are responsible for something, you can talk about it.
- _____ 4. Everything through the proper chain of command.
- _____ 5. Loose lips sink ships.

Releasing Multimedia

17-4.03-P

INSTRUCT subordinates on Coast Guard policy regarding the release of photographs, video, and audio of Coast Guard activities.

Release of Multimedia

Photographs, videotapes, and audio recordings of Coast Guard operations are important for:

- Operational and public affairs purposes
- Evidence in law enforcement cases
- Training
- Historical documentation.

It is important to understand the Coast Guard's policies regarding the release of photographs, videotapes, and audio recordings of Coast Guard activities. All such material must go through the review and release process as other official information. Refer to your unit's release policies to establish the appropriate steps and procedures.

To further educate yourself and instruct others on how to properly release photographs, video, and audio of Coast Guard operations, review Chapters 2 and 5 of the Public Affairs Manual, COMDTINST M5728.2C.

This information is not testable.

http://www.uscg.mil/ccs/cit/cim/directives/CIM/CIM_5728_2C.pdf

All photos, video, and audio tape of Coast Guard activities made by Coast Guard personnel while on duty, or aboard Coast Guard units, are considered official information, regardless if the information was captured on government-owned or 'personal' equipment.

Your position in the government makes your access to units and newsworthy incidents possible. As such, this material may not be sold or released to the public or news media by you or individual Coast Guard members...it must go through the official release process.

Additional untestable information can be found on the Coast Guard Photo Web site: www.uscg.mil.



Answer the following question. The correct answer for the exercise is provided at the end of this E-level section.

1. The release of photographs, videotapes, and audio recordings of Coast Guard activities must go through the same review and release process as _____.
 - a. Other official information
 - b. Freedom of Information Act requests
 - c. Homeland Security rules and regulations
 - d. Coast Guard messages



Answer Key

Chapter 4 – Enlisted Heritage

♦ Page E4-6 [Requirement 4-4.01-K]

Match each significant event on the left with the year of inception from the list on the right.

Event		Year
<u>E</u>	The Coast Guard was born.	A. 1808
<u>C</u>	Specialty or rating marks for petty officers became official.	B. 1841
<u>D</u>	The Navy recognized three classes of petty officers: First, Second, and Third.	C. 1866
<u>A</u>	The petty officer rate became official.	D. 1885
<u>B</u>	Naval petty officers got their first rate insignia.	E. 1915

♦ Page E4-16 [Requirement 4-4.02-K]

Select True or False for each question.

- ☐ True
☒ False

 1. The office of the Master Chief Petty Officer of the Coast Guard (MCPOCG) came into existence on July 17, 1971.
- ☐ True
☒ False

 2. The office of the MCPOCG was established by order of the Commandant.
- ☒ True
☐ False

 3. The MCPOCG is the most senior enlisted member of the Coast Guard.
- ☐ True
☒ False

 4. The MCPOCG has the pay grade designation of E-9.
- ☒ True
☐ False

 5. The tour of assignment for the MCPOCG is four years.

Chapter 5 – Enlisted Rate/Pay Grade

♦ **Page E4-22 [Requirement 5-4.03-K]**

Circle the correct answer.

1. As a rule, the petty officer's _____ dictates the level of authority, responsibility, and accountability.
 - a. Commanding officer
 - b. Senior petty officer
 - c. Rate**
 - d. Expertise

2. Title 14 USC, section 89, gives petty officers authority to board a vessel under U.S. jurisdiction at any time and _____.
 - a. Inspect and search the vessel
 - b. Examine ship documents and papers
 - c. Address inquiries to those on board
 - d. All of the above.**

3. Rating Force Master Chiefs are tasked to _____.
 - a. Oversee development of Enlisted Performance Qualifications (EPQs)**
 - b. Coach
 - c. Interrogate personnel on board
 - d. None of the above.

Chapter 6 – Leadership

♦ **Page E4-25 [Requirement 6-4.01-K]**

Circle the correct answer.

1. The ~~system the~~ Coast Guard uses to grow its workforce into leaders.
 - a. Leadership Development**
 - b. Effective Leadership
 - c. Leadership Competencies
 - d. Leadership Performance Expectations
2. To achieve desired results by providing the right tools, information, and working environment, and fostering commitment among your followers.
 - a. Leadership Development
 - b. Effective Leadership**
 - c. Leadership Competencies
 - d. Leadership Performance Expectations
3. The leadership knowledge, skills, attitudes, and abilities that the Coast Guard requires of each individual.
 - a. Leadership Development
 - b. Effective Leadership
 - c. Leadership Competencies
 - d. Leadership Performance Expectations**
4. Measurable behavioral patterns essential to leading.
 - a. Leadership Development
 - b. Effective Leadership
 - c. Leadership Competencies**
 - d. Leadership Performance Expectations

Chapter 7 – Standards of Conduct

♦ Page E4-46 [Requirement 7-4.01-K]

Answer the following questions.

1. A local telephone company has sent an unsolicited complimentary 30-minute prepaid calling card (each worth \$20.00) to every member of a Coast Guard command in appreciation for their service to our country. (Some cynics contend that this was a blatant public relation gimmick.) The telephone company's name and logo are printed in bold colors on each calling card.

Can all command members accept the gift calling card? **Yes**

All command members can accept the gift calling cards as the card is an individual gift offered to each member of the command. Since each gift card is offered because of the intended recipient's Coast Guard status, the general gift rule applies...unless an exception permits it, no member of the command can accept any gift from any outside source that is offered because of the member's federal status or position.

However, an exception **does** apply in this case. Because the calling card is a non-cash gift and each individual card does not exceed \$20, each member of the command is permitted to accept the calling card. But the aggregate value of all gifts from that source during a calendar year cannot exceed \$50.

Refer to Sections 2.C of COMDTINST M5370.8B (Standards of Ethical Conduct). For any questions concerning gifts, contact an ethics attorney.

2. PO Purple is the president of the local Enlisted Petty Officer Association (EPOA). The Association is composed of all Petty Officers assigned to the command. PO Purple, as the Association president, wants to conduct an Association fundraiser at her command. The raised funds would help pay for corrective laser eye surgery for the command's armorer, who is also the small arms marksmanship instructor. PO Purple wants to solicit cash donations from members of the command.

Can PO Purple conduct her fundraiser? **Yes**

PO Purple can conduct the fundraiser but with certain restrictions. If she obtains the CO's approval, PO Purple is permitted to solicit cash donations for the picnic from all Petty Officers in the command. And she can use her office computer and the e-mail system to solicit the donations. However, she **cannot** solicit donations from any other members of the command.

Chapter 7 – Standards of Conduct (continued)

Page E4-25 [Requirement 6-4.01-K] (continued)

Basis: The workplace fundraising rules that impacted adversely on PO Green in scenario #3 do not apply here. Organizations composed primarily of Coast Guard members or employees, or their dependents, **may** raise funds among members for organizational support or for the benefit of welfare funds for their members. The funds for the corrective laser eye surgery fall under this category.

Refer to Sections 2.I.4 and 2.H.3 of COMDTINST M5370.8B (Standards of Ethical Conduct). For any questions concerning fundraisers, contact an ethics attorney.

Additional untestable information can be found in COMDTINST M5370.8B, Standards of Ethical Conduct.

3. As an MWR event, CPO Friendly's command is having a well-deserved family day picnic. The Executive Officer has given the command's Spouse Club permission to set up a booth at the picnic and to conduct a fundraising pastry sale and raffle. Raffle proceeds will be used to purchase subscriptions to the award-winning *Ethics in Government* magazine for unit members about to depart on a long patrol.

Three of the prizes being raffled off include opportunities for dependent children of lucky winners to ride in a small boat, ride in a helo, and to spend a workday with Chief Friendly. After being chastised for trying to fix his brother-in-law's citation (scenario #6), Chief Friendly has become much more sensitive to ethics issues and wonders whether it is ethical (or wise) to raffle off an opportunity for children to spend a day with him.

Can Chief Friendly go along with this raffle? **No**

Good for Chief Friendly! He has reason to be concerned. He knows that a raffle is a form of gambling, even if all prizes are noncash prizes. In addition, depending on where it is conducted and who participates, the raffle might be prohibited by state law, federal regulation, or Coast Guard regulation. Also, it is an ethics violation to use Coast Guard property, personnel, or access to personnel as a fundraising prize.

Basis: Refer to Section 2.H.3 of COMDTINST M5370.8B (Standards of Ethical Conduct). For any questions concerning gambling or misuse of position, contact an ethics attorney.

Refer to Sections 2.I.4 and 2.H.3 of COMDTINST M5370.8B (Standards of Ethical Conduct). For any questions concerning fundraisers, contact an ethics attorney.

Additional untestable information can be found in COMDTINST M5370.8B, Standards of Ethical Conduct.

Chapter 7 – Standards of Conduct (continued)

Page E4-25 [Requirement 6-4.01-K] (continued)

4. PO O'Hara is a highly skilled computer technician assigned to Coast Guard Headquarters. He works alongside several highly-paid civilian computer technicians. The civilian technicians are employees of a contractor, *Fix-It*, who has a support contract with the Coast Guard. Although *Fix-It* employees try their best to keep the computers fully functional, the problems that plague the HQ computers could be alleviated if the support contractor had more technicians on the job.

A *Fix-It* representative contacts PO O'Hara and offers him what appears to be an outrageously high sum of money to work as an off-duty employee on the weekends. PO O'Hara's Coast Guard duties do not require him to work weekends, to supervise any *Fix-It* employees, nor to participate in any matters involving the support contractor.

PO O'Hara sees no conflict of interest and decides to accept the job offer. Was this a good decision? **No**

This was **not** a good decision. PO O'Hara has read scenario #7 and scenario #8 and now knows that Section 2.I.1 of COMDTINST M5370.8B provides ethics guidance about off-duty employment. However, he hasn't followed up and read paragraph 16.E of the Personnel Manual, COMDTINST M1000.6(series).

When he does, PO O'Hara will find out that all Coast Guard personnel are ordinarily barred from off-duty employment with any company that has direct business dealings with the Coast Guard.

Basis: Since the support contractor has direct business dealings with the Coast Guard, it is likely that PO O'Hara cannot work for that company. However, that rule is not a flat rule...so when PO O'Hara complies with paragraph 16.E of the Personnel Manual and notifies his CO about his off-duty employment plans, his CO, with the assistance of an ethics attorney, can determine whether O'Hara's off-duty employment plans are dashed.

Refer to Section 2.C of COMDTINST M5370.8B (Standards of Ethical Conduct) and . paragraph 16.E of the Personnel Manual For any questions concerning outside employment, contact an ethics attorney.

Additional untestable information can be found in COMDTINST M5370.8B, Standards of Ethical Conduct.

Chapter 7 – Standards of Conduct (continued)

Page E4-25 [Requirement 6-4.01-K] (continued)

5. CPO Honest has been told by a shipmate that, because of his duties, Chief Honest must file a Confidential Financial Disclosure Report (CFDR). CPO Honest wants to do the right thing, but he is reluctant to disclose his finances to strangers.

Is information readily available to CPO Honest about whether he is obligated to file a CFDR? **Yes**

CPO Honest needs to start with Section 2.E.9 of COMDTINST M5370.8B (Standards of Ethical Conduct). That paragraph will refer him to the Coast Guard Financial Disclosure Instruction, which will provide him with CFDR information.

CPO Honest should then contact his servicing Ethics attorney.

Basis: Refer to Section 2.E.9 of COMDTINST M5370.8B (Standards of Ethical Conduct) and . paragraph 16.E of the Personnel Manual For any questions concerning conflicts of interests, contact an ethics attorney.

Additional untestable information can be found in COMDTINST M5370.8B, Standards of Ethical Conduct.

Chapter 9 – Enforcing Standards

♦ Page E4-56 [Requirement 9-4.01-K]

Match the enlisted members' rights with the appropriate category.

Enlisted Members' Rights	Category
<u>4</u> Right to speak to an attorney.	1. Probable cause search
<u>1</u> Right to an inventory of seized items.	2. UCMJ infractions
<u>3</u> Right NOT to attend supplemental training on Sabbath	3. EMI
<u>2</u> Right to request a particular mast representative.	4. Rights of the accused

Chapter 10 – Supervisory Responsibility

♦ Page E4-62 [Requirement 10-4.01-K]

Match each responsibility with the appropriate personnel. Note that some personnel are responsible for more than one listed responsibility.

Responsibility	Rating Chain Personnel
<u>C</u> Ensures the member is counseled.	A. Supervisor
<u>B</u> Darkens in the appropriate ovals.	B. Marking Official
<u>D</u> Complies with the change procedures in Article 10.B.10.b.	C. Approving Official
<u>A</u> Evaluates performance and places an "X" within the appropriate oval.	D. Appeal Authority
<u>C</u> Ensures all required written comments are provided.	
<u>B</u> Enters the numerical equivalent in the "Mark" column.	
<u>A</u> Gathers input on a subordinate's performance and behavior.	

Chapter 10 – Supervisory Responsibility (continued)

♦ Page E4-71 [Requirement 10-4.01-P]

Match each statement with its performance category.

Statement

1. **D** Evaluates degree of cooperation with other people or units to achieve common goals
2. **C** Evaluates extent of well-groomed appearance in uniform.
3. **A** Evaluates degree to which personnel and material resources are used
4. **E** Evaluates degree of conformance to military tradition, customs, and courtesies
5. **B** Must provide written comments for E-6 personnel evaluation.

Performance Category

- A. Performance
- B. Leadership
- C. Military
- D. Professional Qualities
- E. Conduct

Chapter 11 – Personnel Issues

♦ Page E4-83 [Requirement 11-4.01-K]

Match each definition with its financial tool.

Definition

- D** A savings tool to meet long-term goals.
- E** A safeguard to help protect against unexpected calamities.
- F** A useful tool for controlling your money
- G** Determines your ability to obtain credit.
- B** A cash reserve to meet emergencies.
- C** Enables consumer to purchase high-cost items.

Financial Tool

- A. Credit card
- B. Savings accounts
- C. Loans
- D. Investments
- E. Insurance
- F. Personal budget
- G. Credit history

Chapter 13 – Personnel Systems

♦ **Page E4-96 [Requirement 13-4.01-K]**

Answer the following True or False questions.

- ☐ True A Dislocation Allowance (DLA) cannot be paid in advance.
- ☒ **False**
- ☒ **True** A member's grade and dependency status determine the prescribed weight allowance.
- ☐ False
- ☒ **True** The Coast Guard may limit the amount of household goods shipped.
- ☐ False
- ☐ True When purchasing your own ticket, you are entitled for full reimbursement, no matter how much it costs.
- ☒ **False**
- ☐ True If you have a baby after the EDO, you can claim the baby as a dependent for reimbursement purposes
- ☒ **False**
- ☒ **True** Per Diem is paid on a whole calendar day basis.
- ☐ False

Chapter 13 – Personnel Systems (continued)

◆ Page E4-97 [Requirement 13-4.01-K]

Circle the appropriate answer to the following questions.

1. For POC travel mileage reimbursement, three authorized travelers are entitled to _____.
 - a. \$0.15 per mile
 - b. \$0.16 per mile
 - c. \$0.18 per mile
 - d. \$0.19 per mile**
2. The maximum allowance for authorized temporary lodging expense is _____.
 - a. \$150.00 per day
 - b. \$175.00 per day
 - c. \$180.00 per day**
 - d. \$185.00 per day
3. Temporary Lodging Allowance (TLA) is authorized for a period NOT more than _____.
 - a. 30 days
 - b. 45 days
 - c. 60 days**
 - d. 75 days
4. Members may request advance pay for up to _____.
 - a. 2 months
 - b. 3 months**
 - c. 4 months
 - d. 5 months

Chapter 13 – Personnel Systems (continued)

◆ Page E4-102 [Requirement 13-4.02-K]

Circle the appropriate answer to the following questions.

1. When assigning members, personnel administration follows basic assumption(s) Service needs.
 - a. Service needs
 - b. Billet structure
 - c. Members are fully qualified to perform their rate duties
 - d. **All of the above**
2. The assignment year begins on _____.
 - a. January 1st
 - b. June 1st
 - c. August 1st
 - d. **October 1st**
3. Personnel seeking to fill special assignments must _____.
 - a. Make their request in writing to their immediate supervisor
 - b. Submit an application to PSC
 - c. **Submit an application to their special assignment officer**
 - d. All of the above
4. Panels determine the best candidate for the position of _____.
 - a. Command Cadre
 - b. Recruiting
 - c. Company Commander
 - d. **All of the above**

Chapter 13 – Personnel Systems (continued)

◆ Page E4-107 [Requirement 13-4.01-P]

Circle the appropriate answer to the following questions.

1. All personnel in the current assignment year are _____.
 - a. Not required to submit electronic resumes.
 - b. Required to submit electronic resumes.**
 - c. Not required to apply for the SWE.
 - d. Required to apply for the SWE.
2. Passwords must be at least _____ characters long.
 - a. 4
 - b. 6
 - c. 8**
 - d. 10
3. Passwords expire every _____.
 - a. 30 days
 - b. 60 days
 - c. 90 days**
 - d. 120 days
4. A reminder alerts you _____ days before password expiration.
 - a. 2**
 - b. 3
 - c. 4
 - d. 7

Chapter 13 – Personnel Systems (continued)

♦ Page E4-127 [Requirement 13-4.02-P]

Select True or False for each question.

- ☐ True PCS travel claims are submitted on Standard Form 1164.
☒ **False**
- ☐ True You must include receipts for any reimbursable items \$50 or more.
☒ **False**
- ☒ **True** If a required receipt is lost or stolen, you must itemize and certify the expense.
☐ False
- ☐ True To be submitted to PSC for liquidation, the TONO number must begin with 10, 11, or 12.
☒ **False**
- ☒ **True** In completing block 1 of the form, the only payment option is electronic fund transfer.
☐ False
- ☒ **True** If your dependents traveled at a different time, you need to complete a separate Travel Voucher with the dependent(s) itinerary in block 15.
☐ False

Chapter 14 – Mission Preparedness

♦ Page E4-132 [Requirement 14-4.01-K]

Match each definition with its Operational Risk Management term.

Definition

- C** Continuous, systematic process of identifying and controlling risks in all activities
- E** Real or potential condition that can endanger a mission
- D** Degree of damage, injury, or impact on a mission
- B** The determined chance of personal injury or property damage or loss
- A** Unplanned event(s) causing death, injury, occupational illness, or damage
- H** The amount of time or equipment, and/or number of cycles or people involved in a given event
- I** The likelihood an individual event will occur
- F** Systematic process of evaluating various risk levels for specific hazards
- G** Specific scaled risk degrees determined by the ORM process

ORM Term

- a. Mishap
- b. Risk
- c. Operational Risk Management
- d. Severity
- e. Hazard
- f. Risk assessment
- g. Risk rating scale
- h. Exposure
- i. Probability

♦ Page E4-140 [Requirement 14-4.02-K]

Answer the following True or False questions.

- ☒ True
☐ False 1. Coast Guard response personnel can come from the Coast Guard Auxiliary.
- ☐ True
☒ False 2. The Incident Commander is the highest-ranking person at the unit.
- ☒ True
☐ False 3. The Incident Command System is a standardized response management system.
- ☐ True
☒ False 4. The principles of the NIMS ICS are limited to certain types of incidents.
- ☐ True
☒ False 5. In the ICS, each agency participating in the response is dependent on the initial responding agency.

Chapter 15 – Safety

♦ Page E4-160 [Requirement 15-4.01-K]

Answer the following True or False questions.

- ☒ True
☐ False 1. Any machine part, function, or process that could cause injury must have safeguards in place.
- ☐ True
☒ False 2. A Closed Compartment Opening Request Form is required to open confined spaces.
- ☒ True
☐ False 3. Examples of permit-required confined spaces on cutters and other vessels include wing tanks, fuel cells, APO spaces, and center tanks.
- ☒ True
☐ False 4. Flywheels, shafts, generators, and clutches are all common moving parts found in a machinery space.
- ☐ True
☒ False 5. A lockout/tagout system is NOT necessary when deenergizing and securing electrical equipment.
- ☐ True
☒ False 6. In certain instances, it is permissible for a person to work on electrical equipment alone.
- ☒ True
☐ False 7. Personal protective equipment is required when handling flammable or toxic materials.
- ☐ True
☒ False 8. Universal Precautions is an infection control approach developed by the Coast Guard that recognizes direct contact with body fluids is infectious.
- ☐ True
☒ False 9. Completing a Man Aloft Chit before sending a person to work afloat is optional.
- ☐ True
☒ False 10. When using a stage for a person working over the side, rigging a manrope to one end is optional.
- ☒ True
☐ False 11. Each unit is required to have a written plan for the decontamination of bio-hazardous material.

Chapter 16 – Security

♦ Page E4-164 [Requirement 16-4.01-K]

Definition

- B** 1. This condition applies when there is a general threat of possible terrorist activity directed against units and personnel, the nature and extent of which are unpredictable.
- E** 2. This condition applies in the immediate area where a terrorist attack has occurred or when intelligence has been received that terrorist action against a specific location is likely.
- D** 3. This condition applies when an incident occurs or when intelligence is received indicating that some form of terrorist action against units and personnel is imminent.
- A** 4. This condition applies when a general threat of possible terrorist activity exists but warrants only routine security posture.
- C** 5. This condition applies when an increased and more predictable threat of terrorist activity exists.

Terrorist Threat Level

- A. FPCON Normal
B. FPCON Alpha
C. FPCON Bravo
D. FPCON Charlie
E. FPCON Delta

Chapter 17 – Communicating

♦ Page E4-175 [Requirement 17-4.01-K]

Answer the following questions.






1. Prior to presenting the training objective, the instructor should provide _____.
 - a. An overview of the main points
 - b. Assessment/testing methods
 - c. Performance feedback
 - d. Why the training is important
2. A testing strategy that includes verifying that health and safety guidelines are met and the desired outcome is achieved is a _____ strategy.
 - a. Procedure
 - b. Outcome
 - c. Combination
 - d. Product

♦ Page E4-184 [Requirement 17-4.01-P]

Circle the appropriate answer for the following question.

1. This information must be included on all correspondence in the Coast Guard because it serves as the file number.
 - a. Date
 - b. SSIC
 - c. Subject
 - d. Routing Symbol

Write an “O” in front of the icons and buttons used in Outlook/E-mail and write a “W” in front of the icons and buttons used in Word.

2. O 
3. O 
4. W 
5. O 
6. O 

Chapter 17 – Communicating (continued)

♦ Page E4-190 [Requirement 17-4.02-P]

Select two important parts of the Coast Guard's public affairs information release policy that affect personnel.

1. **Apply the SAPP rule.**
2. Security must come first.
3. **If you do it, or are responsible for something, you can talk about it.**
4. Everything through the proper chain of command.
5. Loose lips sink ships.

♦ Page E4-192 [Requirement 17-4.03-P]

Answer the following question.

1. The release of photographs, videotapes, and audio recordings of Coast Guard activities ~~must go through the same~~ review and release process as _____.
 - a. **Other official information**
 - b. Freedom of Information Act requests
 - c. Homeland Security rules and regulations
 - d. Coast Guard messages